# Trends & Essentials in Scholarly Publishing

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The Development of Library-Led Publishing Services at the University of Utah

Valeri Craigle, John Herbert, Anne Morrow, & Allyson Mower
University of Utah

IN THIS CHAPTER

Theme
Assessment & pilot publishing projects

Highlighted Services
Print, multi-media e-content, web-hosting

Software/Platforms Utilized
Booktype, Omeka, OmniUpdate, Pressbooks & Wordpress

Resources
Assessment model & online publishing platforms compared

In the last decade, scholarly communication has shifted. A lot. Not just from digital and networked technology, new information policies, or the open access movement, but also from a rise in publishing programs in academic libraries. As noted in a series of reports from the Association of Research Libraries (Hahn, 2008), ITHAKA S+R (Brown et al., 2007), the Scholarly Publishing Academic Resources Coalition (Crow, 2009) and the Institute of Museum & Library Services (Mullins et al., 2012), libraries “have begun to expand their role in the scholarly publishing value chain by offering a greater range of pre-publication and editorial support services” (Mullins, p. 5). This represents a new role for librarians as curators of traditional content and collections. However, when you think of them as builders of digital

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libraries, similar skill sets and tools are more obvious: market analysis; needs assessment; project management; web design; layout; proofreading; robust technical infrastructure; metadata standards; good relationships with authors, creators, and vendors; copyright; and contract expertise. This chapter will describe the experiences at the Marriott and Quinney Libraries at the University of Utah in developing library-led publishing services.

Publishing Services Model

In the IMLS study *Library Publishing Services: Strategies for Success*, more than half of ARL-member libraries indicated they offer, or are interested in offering, publishing services (Mullins et al., 2012). According to the study, “the vast majority of library publishing programs were launched in order to contribute to change in the scholarly publishing system, supplemented by a variety of other mission-related motivations” (p. 6). Mission-driven rationale depends on sources of funding. Most publishing service units in libraries report the following as primary funding sources: library budget allocation, temporary institutional funding, and grant support. Many of these library publishers, however, expect a “greater percentage of future funding to come from service fees, product revenue, charge-backs, royalties, and other program-generated income.”

At the University of Utah, we established a theoretical publishing services model based on these potential sources of revenue and funding, as well as the changing scholarly publishing landscape. Our model has three main components:

- Faculty needs
- Reader demand
- Feasibility

Faculty Needs

One example of change in scholarly publishing is supporting the scholar whose book does not have popular appeal or high sales potential. Some publishers have argued for a two-tiered scholarly publishing system in order to address the low-revenue-producing book. In a 1997 interview with August Fruge, long-time director of University of California Press, this idea emerged (Riess & Fruge, 1997). Fruge argued for on-demand publishing, envisioning the traditional book trade as one level of scholarly publishing, combined with a second, lower level of on-demand trade. This second level of publishing would be limited to brief prose and a bibliography and handled in the same way as dissertations. The publisher would prepare camera-ready copy, print a small run, and maintain the film so that “if somebody wanted one they could always print [it] off” (p. 107). Fruge argued that this is “really […] closer to a library service than it is to publishing,” pointing out that “you have to make some effort to sell it” (p. 108). Our model focuses on this second level of book and seeks to address these two elements: on-demand publishing as a library service and making an effort to sell it.
Reader Demand

Making an effort to sell something, as Fruge phrased it, means understanding its target market and estimating potential reader demand. While library services may not be at the same level as the traditional book trade, determining reader demand remains an important element to any publishing venture. After all, if there is no readership, justifying the effort and expense to create a product becomes very difficult. Having not yet discovered how to accurately estimate reader demand, we rely on our experiences and common sense. Despite this, it serves a primary role of counter-balancing faculty need and informs our scoring model.

Feasibility

Library publishing services require the right skills, expertise, and technological infrastructure, especially when offering on-demand services. Many traditional library processes can translate to publishing: acquisitions, contracts, risk-taking, production workflow, distribution, and preservation.

In order to ensure success, we chose projects where we had existing expertise and infrastructure. For example, our competency in video digitization allowed us to address multimedia publishing needs. For print-on-demand that Fruge discusses, we already operate an Espresso Book Machine (Riess & Fruge, 1997). For long-term preservation, we can utilize our recently launched digital preservation program. And for web interfaces needed in publishing projects, we can rely on a web development team within Library IT.

Fruge indicated that the “dividing line between the author and the publisher—what they do—has to move over a step” (p. 108). This means the author, using today’s word processing tools, develops a manuscript nearly good enough for immediate publishing. While libraries may have limited editorial expertise, they can use freelance editors to prepare final manuscripts, and using existing digital library infrastructure, publish and widely distribute the work in various formats.

Faculty Needs Assessment at the University of Utah

In order to ground our model and establish a foundation for publishing services, we conducted a faculty needs assessment on our campus. First, faculty received an email inviting them to a web survey on publishing activities. The survey addressed past publishing practices, identified current publishing activities and needs, and gauged their interest in partnering with us. Fifty-seven faculty members from social sciences, sciences, law and the humanities...
participated. Survey results indicated the majority published journal articles more frequently than invited chapters, book-length monographs, or textbooks (see Figure 1). Over three-quarters identified their research as interdisciplinary. When comparing their colleagues’ publishing needs to their own, a majority described their colleagues as “maybe” having similar needs while others identified their colleagues as having needs similar to their own.

**Figure 1**

**Types of Publications**

![Pie chart showing types of publications: Journal articles 48%, Invited chapters 24%, Textbooks 12%, Book-length monographs 16%]

**Figure 1: Type of publication most frequently produced.**

Nearly half of the respondents expressed interest in having their work available on the Web (see Figure 2). When asked if there were additional materials not currently supported by traditional publishing with their published work, a little over a third of respondents indicated there were. When asked to rank additional materials and/or services they would like to have included with their published work, a third of respondents indicated long-term preservation, closely followed by print-on-demand and the ability to add content over time as other top priorities (see Figure 3). Two-thirds indicated that they would consider taking advantage of platforms for web publishing provided by the library (see Figure 4). See Appendix A for the full survey results.
Figure 2: Interest in having work available on the Web.

Figure 3: Need for additional services and materials.

Forty percent of respondents were interested in a follow-up interview. These interviews became the basis for the second phase of our needs assessment. During this phase we provided each interviewee with more details about the library’s interest in publishing services. We also asked them about their research interests and current publishing projects. Our questions addressed publishing trends in their discipline, determined if they had research results that were not being published but they wished could be, and asked what support they needed for publishing and for long-term preservation. Several faculty delved into the many possible angles of presenting their scholarly communications in a digital environment. The role of copyright in student and faculty works’ accessibility on the Web was another area of heightened interest.

Through the course of the interviews, several opportunities for pilot projects emerged, each of which could address a specific need or set of needs. We selected a range of pilots to assess our capabilities to support different types of publishing projects. Whether the pilots succeeded or failed, they would collectively serve as a litmus test of our ability to provide independent publishing services.

We initiated a series of five pilot projects that utilized library resources, personnel, and expertise. The pilots included an online text-based sourcebook, choreographed dance pieces, an architecture thesis with supplemental multimedia, and an e-anthology of mixed media (text, image, video). Combined, they addressed the amalgamated types of publishing we saw ourselves offering: print-on-demand, web hosting, design, organization, metadata, and access.

Once the projects were launched, we examined several technological platforms that could provide infrastructure for publishing services. We assessed Booktype, Omeka, OmniUpdate,
Pressbooks, and Wordpress. We created small-scale prototypes for each and ultimately decided on Wordpress because it performed best in presenting the pilot projects and was scalable, extensible, and intuitive to use. For a summary of our findings on the software evaluations, please see Appendix B.

**Reader Demand and Feasibility: The Scoring Model**

In order to address reader demand and feasibility, we created a project assessment, or scoring, model based on the following criteria:

- Service to the university
- Alignment with future direction
- Revenue-generation potential
- Feasibility
- Longevity
- Audience/marketing plan/needs assessment
- Staff-time and resource commitment
- Equipment and software required

**Design**

These eight criteria were thoroughly reviewed and consolidated into four broad categories: Audience, Innovation/Risk, Feasibility/Cost, and Longevity/Impact. The categories were then weighted by assigning percentages to each in order to reflect its relative importance.

The weighted-average scoring model (Weighted Mean, 2013) is illustrated in detail below. The categories, listed in order of importance, assess the value of each project, based on the scores they received.

Most important were new and innovative projects that address an unmet need within the community. We realized that these types of projects were inherently risky, but believed that innovation and originality generally outweigh any risks involved.
Audience 45%

- Marketing plan /needs assessment
- Service to the university
- Revenue-generation potential

Innovation/Risk 25%

- Novelty/unusual/creative/inventive/not something that libraries normally do
- Setting a new standard/delivering a new product or service/finding new customer groups

Feasibility/Costs 20%

- Staff time and resource commitment
- Equipment, software, purchases required
- End-of-project costs

Longevity/Impact 10%

- Sustainable over time or one-time impact
- Capacity-building/ability to lead to future projects

Audience: We defined audience as any member of the university community or the public as a whole. We considered Audience to be the most important of the four categories, as community engagement and revenue-generating potential were key factors to the success of a project.

Innovation/Risk: Most important were new and innovative projects that address an unmet need within the community. We realized that these types of projects were inherently risky, but believed that innovation and originality generally outweigh any risks involved.

Feasibility/Cost: Institutional resources, including staff time, equipment, and facility costs, were included, as were the resources required to carry the project into the future.

Longevity/Impact: Too often, projects are undertaken without considering long-term sustainability, or the project’s potential to build capacity among its stakeholders. We considered the project’s impact beyond the present, favoring those with the potential to meet these criteria.

To “score” a project, we simply rated each category on a five-point scale (1 being low and 5 being high), multiplied that rating by the category’s percentage, and added up these individual category scores for the total project score, which is also on a five-point scale.

Implementation

We implemented the model by scoring each of the five publishing services pilots. From that point, we expanded the model’s application to assess a larger number of revenue-generating projects being considered by a separate library committee. Our general project evaluation process is as follows.
Each pilot receiving a score of 2 or higher progressed to the expanded assessment phase. Anything with a score of less than 2 was rejected from further consideration. A score of 2 to 3.7 placed a pilot in the “maybe” category. In certain circumstances, these projects may be scored more competitively, depending on the overall quantity and quality of the projects being assessed at the time. Pilots with a score of 3.8 or higher were considered to have greatest potential for success and were moved into the development phase.

Each project needs a facilitator—referred to as a “wrangler”—from the committee to shepherd it through the scoring process. The project’s author, or client, communicates the initial project idea via posting to an online “Idea Wall,” which all committee members check regularly for new submissions. The appointed wrangler claims the project and facilitates committee meetings and scoring model activities. Clients meet with the committee and are informed of the scoring model results and the criteria used for assessing the project’s potential. The wrangler keeps the client informed of the group’s decisions and facilitates all communications.

If the project scores highly enough, it continues along a path to development and moves into a work queue. If the project has a low score, clients may address the project’s deficiencies and submit it for a second scoring. If there is a disagreement between the client and the committee about the scoring, clients have the option to present their case to the library’s Executive Committee.

Conclusion

In the near term, we plan to complete our pilot projects, some of which need finishing pieces from the authors. Two key learnings from our pilots have been to start with finalized content, rather than works-in-progress, and to have service-level agreements in place to guide our progress and contain the project’s scope. This aspect will be reflected in our longer-term goal to move towards a tiered service model as described in the Publishing Services Model section.

The theoretical publishing services model, along with the scoring model, allow the Marriott and Quinney Libraries to strategically move forward with providing a relevant service to faculty, innovative products, and quality scholarly materials for readers.

References


## APPENDIX A – Full Survey Results

1. Are your academic publications typically: (click all that apply)

<table>
<thead>
<tr>
<th>Publication Type</th>
<th>Count</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Journal articles</td>
<td>51</td>
<td>89%</td>
</tr>
<tr>
<td>Book-length monographs</td>
<td>17</td>
<td>30%</td>
</tr>
<tr>
<td>Text books</td>
<td>13</td>
<td>23%</td>
</tr>
<tr>
<td>Invited chapters</td>
<td>25</td>
<td>44%</td>
</tr>
<tr>
<td>Other, please specify</td>
<td>6</td>
<td>11%</td>
</tr>
</tbody>
</table>

2. Do you consider your research field interdisciplinary?

<table>
<thead>
<tr>
<th>Option</th>
<th>Count</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>44</td>
<td>79%</td>
</tr>
<tr>
<td>No</td>
<td>12</td>
<td>21%</td>
</tr>
<tr>
<td>Total</td>
<td>56</td>
<td>100%</td>
</tr>
</tbody>
</table>

3. Are there additional materials, not currently supported by traditional publishing, that you would like to include with your published work?

<table>
<thead>
<tr>
<th>Option</th>
<th>Count</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>19</td>
<td>36%</td>
</tr>
<tr>
<td>No</td>
<td>34</td>
<td>64%</td>
</tr>
<tr>
<td>Total</td>
<td>53</td>
<td>100%</td>
</tr>
</tbody>
</table>

4. How interested are you in having your work available on the web?

<table>
<thead>
<tr>
<th>Option</th>
<th>Count</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Not at all</td>
<td>10</td>
<td>18%</td>
</tr>
<tr>
<td>A little</td>
<td>7</td>
<td>12%</td>
</tr>
<tr>
<td>Some</td>
<td>16</td>
<td>28%</td>
</tr>
<tr>
<td>A lot</td>
<td>24</td>
<td>42%</td>
</tr>
<tr>
<td>Total</td>
<td>57</td>
<td>100%</td>
</tr>
</tbody>
</table>
5. How high/low is your need for including each of the following as additional materials in your publications?

<table>
<thead>
<tr>
<th></th>
<th>High</th>
<th>Medium</th>
<th>Low</th>
</tr>
</thead>
<tbody>
<tr>
<td>Additional text</td>
<td>8</td>
<td>23</td>
<td>24</td>
</tr>
<tr>
<td></td>
<td>15%</td>
<td>42%</td>
<td>44%</td>
</tr>
<tr>
<td>Additional photos and/or color photos</td>
<td>14</td>
<td>17</td>
<td>26</td>
</tr>
<tr>
<td></td>
<td>25%</td>
<td>30%</td>
<td>46%</td>
</tr>
<tr>
<td>Audio / Video</td>
<td>14</td>
<td>13</td>
<td>28</td>
</tr>
<tr>
<td></td>
<td>25%</td>
<td>24%</td>
<td>51%</td>
</tr>
<tr>
<td>Reader comments, ratings</td>
<td>3</td>
<td>14</td>
<td>38</td>
</tr>
<tr>
<td></td>
<td>5%</td>
<td>25%</td>
<td>69%</td>
</tr>
<tr>
<td>Adding content over time</td>
<td>15</td>
<td>18</td>
<td>23</td>
</tr>
<tr>
<td></td>
<td>27%</td>
<td>32%</td>
<td>41%</td>
</tr>
<tr>
<td>Inclusion in the Institutional Repository</td>
<td>11</td>
<td>22</td>
<td>21</td>
</tr>
<tr>
<td></td>
<td>20%</td>
<td>41%</td>
<td>39%</td>
</tr>
<tr>
<td>Print single copies on-demand</td>
<td>17</td>
<td>22</td>
<td>16</td>
</tr>
<tr>
<td></td>
<td>31%</td>
<td>40%</td>
<td>29%</td>
</tr>
<tr>
<td>Long-term preservation of your materials</td>
<td>18</td>
<td>26</td>
<td>10</td>
</tr>
<tr>
<td></td>
<td>33%</td>
<td>48%</td>
<td>19%</td>
</tr>
<tr>
<td>Research data</td>
<td>8</td>
<td>27</td>
<td>21</td>
</tr>
<tr>
<td></td>
<td>14%</td>
<td>48%</td>
<td>38%</td>
</tr>
</tbody>
</table>

6. Are you currently researching/writing a work for publication?

<p>| | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>50</td>
<td>89%</td>
</tr>
<tr>
<td>No</td>
<td>6</td>
<td>11%</td>
</tr>
<tr>
<td>Total</td>
<td>56</td>
<td>100%</td>
</tr>
</tbody>
</table>

7. If “yes” on question 6, do you need technical assistance, equipment, or facilities to create multi-media materials?

<p>| | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>12</td>
<td>24%</td>
</tr>
<tr>
<td>No</td>
<td>37</td>
<td>76%</td>
</tr>
<tr>
<td>Total</td>
<td>49</td>
<td>100%</td>
</tr>
</tbody>
</table>

8. If “yes” on question 6, would you take advantage of a technological platform and/or other services for web publishing provided by the University Libraries?

<table>
<thead>
<tr>
<th>Response</th>
<th>Count</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Never</td>
<td>5</td>
<td>11%</td>
</tr>
<tr>
<td>Doubt it</td>
<td>12</td>
<td>27%</td>
</tr>
<tr>
<td>Maybe</td>
<td>13</td>
<td>30%</td>
</tr>
<tr>
<td>Probably</td>
<td>8</td>
<td>18%</td>
</tr>
<tr>
<td>Absolutely</td>
<td>6</td>
<td>14%</td>
</tr>
<tr>
<td>Total</td>
<td>44</td>
<td>100%</td>
</tr>
</tbody>
</table>

9. If “yes” on question 6, would you be willing to offer your publication as a pilot for new services offered by the University Libraries?

<table>
<thead>
<tr>
<th>Response</th>
<th>Count</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>21</td>
<td>50%</td>
</tr>
<tr>
<td>No</td>
<td>21</td>
<td>50%</td>
</tr>
<tr>
<td>Total</td>
<td>42</td>
<td>100%</td>
</tr>
</tbody>
</table>

10. What is your academic department?

<table>
<thead>
<tr>
<th>Academic Department</th>
<th>Count</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>57 Responses</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

11. Are your publishing needs typical of other colleagues in your department?

<table>
<thead>
<tr>
<th>Response</th>
<th>Count</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>No</td>
<td>7</td>
<td>12%</td>
</tr>
<tr>
<td>Maybe</td>
<td>33</td>
<td>58%</td>
</tr>
<tr>
<td>Yes</td>
<td>17</td>
<td>30%</td>
</tr>
<tr>
<td>Total</td>
<td>57</td>
<td>100%</td>
</tr>
</tbody>
</table>

12. Would you further assist us with a face-to-face interview?

<table>
<thead>
<tr>
<th>Response</th>
<th>Count</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>27</td>
<td>47%</td>
</tr>
<tr>
<td>No</td>
<td>30</td>
<td>53%</td>
</tr>
<tr>
<td>Total</td>
<td>57</td>
<td>100%</td>
</tr>
</tbody>
</table>
APPENDIX B: 5 Softwares Assessment, January 2012

Omeka: http://omeka.org/

Although Omeka has features for managing exhibits, videos, images, and document viewing, it is not that intuitively designed. It’s not readily apparent how to integrate its features in a seamless way. In the production workspace, features appear in separate tabs/functions so it isn’t obvious how one coordinates and manages the blending of these features to produce an object containing multiple file types. Omeka has a learning curve. It’s simple to add files; however, the trial and error would come in experimenting with the variety of displays. It would seem that this flexibility would be a good thing, but it only served to make Omeka even less intuitive.

Pressbooks: http://pressbooks.com/

Pressbooks is designed with a book format in mind and handles image files relatively well with some minor caveats. The layout favors a portrait- as opposed to landscape-oriented book, which works better with displaying images. There are multi-faceted options available for customizing individual images that would assist in improving image display. However, for the purposes of the pilot, no image adjustments were performed. As Pressbooks is meant for the traditional text-heavy book, it is not quite as versatile as one would like when it comes to representing interactive multimedia. A bonus of Pressbooks is its ability to export to mobile devices, including the iPad and iPhone, and (with a little extra effort) adding it to a Kindle library.

OmniUpdate: http://omniupdate.com/

OmniUpdate has six or so basic display templates to work with. It has the versatility you would want for a website but wasn’t adequate for presenting a non-traditional publication. We ran into issues with using images and videos. Due to these constraints, the pilot in OmniUpdate was cut short.

BookType: http://www.sourcefabric.org/en/booktype/

Booktype does not currently manage videos, although it has been reported this functionality is under discussion in Booktype’s user forum. Booktype includes five different “publish this book” formats: Book, e-book, Lulu.com, Screen PDF, and Open Document Text. Each publication method includes additional configurable settings. E-book was selected, and among the setting options were iPad, Kindle, and General. General was used as a default for the pilot. Booktype has the ability to customize headers, fonts, etc.; adds a custom CSS; and retains basic formatting in Word documents but not in PDF text documents.
**Wordpress:** [http://wordpress.org/](http://wordpress.org/)

The Wordpress pilot included text, images, and videos. Because of the Web version’s 250MB file limit, Wordpress was installed on a local server. The Wordpress platform is intuitive, extensible, and stable. Wordpress plugins have been useful in managing different aspects of the pilot, including producing printable PDFs and screening spam aimed at comment strings. There are several plugins that support adding, organizing, and presenting images in galleries and slide shows. Wordpress allows for the .mp3 filetype and is compatible with YouTube.
The University Library System, University of Pittsburgh: How & Why We Publish

Timothy S. Deliyannides & Vanessa E. Gabler
University Library System, University of Pittsburgh

IN THIS CHAPTER

Theme
Elements & workflow of a multi-faceted publishing program

Highlighted Services
Journal hosting, training, website customization, metadata & indexing

Software/Platforms Utilized
Open Journal Systems

Resources
Proposal forms, service agreements, and OJS training materials

The University Library System (ULS), University of Pittsburgh has provided publishing services to the scholarly research community for nearly 15 years. The ULS launched its e-journal publishing program in 2007 and in six years has quickly grown to publish 35 peer-reviewed scholarly research journals. Here, we offer insight into the rationale for this program to publish new original content, describe how the program evolved, and explain why the library sees this program as a logical and necessary investment in improving library service and creating positive change in scholarly communications. We also detail the services we offer and describe the specific tools and processes we have developed to launch a new academic journal.
Origins of the ULS Publishing Program

The University of Pittsburgh is a state-related research university founded in 1787, and in recent years, it has consistently ranked among the top cluster of the nation’s research institutions (Capaldi, Lombardi, Abbey, & Craig, 2010). In addition to supporting the general research needs of the university, the ULS has built a strong digital publishing program over the past two decades. The Library D-Scribe Digital Publishing (http://www.library.pitt.edu/dscribe/search.php) program contains nearly 200,000 digital objects in over 100 thematic digital collections, including photographs, manuscripts, maps, books, journal articles, electronic theses and dissertations, government documents, and other gray literature such as working papers, white papers, and technical reports. Almost all of these materials are offered via open access to the global research community.

D-Scribe grew out of a series of digitization projects beginning in the middle 1990s designed to reformat works from the ULS’ rare or unique print holdings. In the year 2000, the ULS began for the first time to make available new research born in electronic format. Working with faculty from the Department of History and Philosophy of Science, one of the university’s flagship departments, the ULS developed the PhilSci-Archive, an author self-archiving repository for preprints, which has now become the world’s primary repository for rapid dissemination of new research in its field. Many articles first disseminated in PhilSci-Archive are later published in refereed scholarly journals. Early in the last decade, a number of additional repositories of original research material were added, including the university’s mandatory electronic thesis and dissertation submission system, D-Scholarship@Pitt, the University of Pittsburgh’s institutional repository, and several subject-based repositories for gray literature, including the Aphasiology Archive, the Archive of Essential Limb Care, the Archive of European Integration, the Industry Studies Association Working Papers, and the Minority Health and Health Equity Archive.

Having gained experience in disseminating preprints and other original scholarly content online through open access, the transition to publishing scholarly journals with peer-reviewed content seemed a logical next step. Initially, the ULS reached out to established print journals, primarily in the humanities, that were edited at the University of Pittsburgh and had not made the transition to electronic publication. With a small subscription base and faced with rising printing and mailing costs, a free platform for journal publishing seemed an attractive means to gain entrée to electronic publishing, a domain that some academic editors, rooted in the tradition of print publication, found mystifying.
Emphasis is placed on leadership in transforming the patterns of scholarly communication and supporting researchers not only in discovering and accessing scholarly information, but in the production and sharing of new knowledge and the creation of original scholarly research.

Why We Publish

First and foremost, the development of the ULS publishing program has been driven by a strong and enduring institutional commitment to open access to scholarly information. Innovation in scholarly communication is a core value of the ULS and one of five strategic goals in the ULS Long-Range Plan. Emphasis is placed on leadership in transforming the patterns of scholarly communication and supporting researchers not only in discovering and accessing scholarly information, but in the production and sharing of new knowledge and the creation of original scholarly research. Desired outcomes are rapid dissemination of new research, broader access to scholarly information worldwide, and the opportunity to advance a new business model as an alternative to unsustainable serials price increases.

Second, by employing innovative electronic publishing technologies, we believe that libraries can leverage their traditional strengths in organization, presentation, and preservation of content with their newer roles of teaching, training, and assisting researchers in using online information systems. These modes of interaction with scholars are very similar to those employed by liaison librarians, and these roles come naturally to libraries in a way that may not be true for a traditional university press.

Finally, today’s Web-based publishing systems offer the perfect environment for building collaborative partnerships with faculty and research communities within the university and around the world to improve the production and sharing of scholarly research. By becoming a publisher, the library can meet researchers on their turf and offer a service that can help improve the impact of the research. We have found that this new service is at once relevant to faculty, well understood, and deeply appreciated.

How We Publish

The ULS has developed a suite of specific tools and techniques to build a highly cost-efficient e-journal publishing program. By following a defined process to work with our publishing partners, we have developed the capacity to launch many new titles each year with a small staff.

At the core of the ULS’ journal publishing program is the open source Open Journal Systems (OJS) software developed by the Public Knowledge Project, a nonprofit research initiative...
originally funded by the Canadian government. OJS is now the leading open source journal publishing platform with over 12,000 journals in publication worldwide. The software allows for a highly customizable management of all stages of editorial workflow. In addition, OJS sports a number of reader tools to enhance content discovery and use. These tools include multilingual support for both online interfaces and content in many languages, persistent URLs, RSS feeds, tools for bookmarking and sharing articles through social networking sites, full-text searching, compliance with the Open Archives Initiative Protocol for Metadata Harvesting, and online usage statistics.

Additional services offered by the ULS include consultation on editorial workflow management, software configuration, graphic design services, initial training, review of all new published issues for metadata quality, and ongoing systems support. The ULS also provides ISSN registration, assigns digital object identifiers (DOIs), and assists in promotional efforts to establish the journal. The ULS uses OJS’ built-in integration with the LOCKSS (Lots Of Copies Keeps Stuff Safe) system to create a distributed archiving system among participating libraries that use LOCKSS to register and cache journal content in geographically dispersed locations to ensure a secure and permanent archive for the journal.

The ULS is named as the official publisher of record, and the University of Pittsburgh Press is typically named as a cosponsor of the journal, provided that the journal adheres to a rigorous peer-review process for its content. The ULS enjoys a highly collaborative relationship with the University of Pittsburgh Press. Through a joint program, the ULS has digitized and made available online via open access over 745 monographic titles published by the University of Pittsburgh Press. The University of Pittsburgh Press Digital Editions program includes both in-print and out-of-print books. The press continues to focus on monographic print publications, whereas all material and technical support for e-journal publishing is provided by the ULS.

The editorial staff of each journal determines the content of the journal and controls all editorial decisions. Using the OJS platform, the editors are responsible for all editorial workflow management, including the work of soliciting submissions, conducting peer reviews, copyediting, layout, publication scheduling, and all correspondence with readers, authors, reviewers, and editorial staff.

Each new relationship with a potential publishing partner begins by asking them to complete a Journal Proposal Form. The data collected on this form are geared toward determining whether the proposed content will meet the ULS selection criteria, the credentials of the editorial team, the nature of the peer review process to be employed, whether the editorial team has adequate support and resources to maintain publication of the journal in the long term, and also basic information such as the focus and scope of the journal, frequency of publication, and information about existing content for journals that have an established publication.

The chances for a smooth implementation are greatly improved by establishing shared expectations with our publishing partners. Early in the engagement process, we review with each partner, using a PowerPoint developed for this purpose, our basic services and the steps to
setting up a new journal with our program. Our partner will then know what to expect from the process and can plan accordingly. This also consists of a list of early decisions the journal will need to make, such as the desired URL, projected date of first publication, publication schedule, and the key journal team members.

We created our selection criteria to ensure that we are partnering with journals of high academic quality. We accept journals that use a rigorous peer-review process, have an editorial board of internationally recognized scholars in their field, possess the staff resources needed to ensure timely publication, solicit new original scholarly research through an open call for papers, and practice selectivity regarding published content. We then evaluate the Journal Proposal Form and submit it to our Publications Advisory Board for their review with a recommendation to accept or reject the proposal. This board comprises key stakeholders in open access publishing from within and outside of the University of Pittsburgh.

For journals with student editorial teams, we take care to evaluate whether the journal has a clear plan to maintain continuity by continually recruiting members who are at an early stage in their degree program and can make a multi-year commitment to the journal. We also require that a faculty advisor be appointed to oversee the editorial team, which provides continuity as well. Outgoing student editorial team members are expected to train incoming members in the workings of the journal and the OJS software each year.

Once the Publications Advisory Board has accepted a new journal, we will sign a Service Agreement with the journal. This document outlines the roles and responsibilities of both parties, the terms of service, the terms of the author copyright agreements, and the fees for services. The term of the Service Agreement is for a period of one year and renews annually automatically unless the journal notifies the ULS of termination 180 days prior to the expiration date.

To establish a system of clear communication among the journal staff and the ULS team, we have developed a Communications Protocol that uses a group distribution e-mail address for every journal. This becomes the main contact address for the journal and includes the necessary ULS staff, as well as any key individuals the journal determines should be involved in regular communications. The Communication Protocol requires that the journal designate a first responder for all external inquiries. The system is designed to ensure that everyone involved is aware of journal activities and that messages do not go unanswered.

At the time we send the Service Agreement and Communication Protocol to the journal, we also share a Website Design Brief so that they can prepare to provide feedback about the graphic design of the journal’s website. This document explains what elements of the OJS software can and cannot be changed. A cascading style sheet can be used to customize many of the features affecting the look and the feel of the website. However, it is important to explain at the beginning that certain features, such as the navigation bar, are tied to key functionality in the software and can’t be changed or removed without damaging that functionality. The Website Design Brief gives instructions for what elements can be changed; how to submit image files a
journal would like to be included in the design, such as logos; and an outline of the timeline for the design period. It also suggests that the journal provide examples of other website designs they like and what specifically about those websites they like. A design meeting is held with a graphic designer during which the journal can provide feedback based on the guidelines in the Website Design Brief. Typically, an initial website design is ready for presentation to the journal in about one month. A one-month review period follows during which the journal can request changes to the design. At the end of the one-month period, the website design is closed.

Once the website design is finalized, we ask the journal to complete an Article Template Questionnaire, which includes a series of questions that will determine the final look and layout of the articles. The look of the articles will also be informed by the final website design. The graphic designer will create an article template in Microsoft Word that the editorial team will use to format their articles. Unlike the website design period, there is no strict moratorium on changes once the article template has been completed. Many situations can arise where the content being formatted for a particular article is unique and the template needs to be adjusted. The ULS chose to create templates in Microsoft Word because it is a familiar program with a gentle learning curve for our publishing partners, many of whom have no prior experience with graphic design or document layout, and also because the cost barrier is relatively low compared with other layout software. When we present the template to the journal, we also provide a help guide that explains how to apply the styles and lay out an article using the template. We then provide ongoing support while the journal works with the template to format articles for each issue.

Whereas the publishing partner may select options for dozens of design features, we require a number of standard elements to appear on every article or every page. Every page, in either the header or footer, must contain the journal title, URL, publishing enumeration and chronology, and the DOI. On at least one page of each article, the ISSN and statement of the Creative Commons licensing terms must appear. These requirements are largely to ensure that if an article is printed by an individual, given only one page a person has all of the necessary information to create a citation and also has the information needed to drive traffic back to the journal’s website.

The ULS takes responsibility for registering the ISSN with the Library of Congress on the journal’s behalf. Also, through a membership with CrossRef, the ULS assigns DOIs for each journal article and deposits the metadata with CrossRef at the time of publication of each journal issue. DOIs are unique persistent identifiers that are assigned to each article.

While the graphic designers are working on the design of the website and the article template, we provide training to the journal in using the OJS software. We provide two primary training sessions. The first training session focuses on the initial setup of the journal, such as entering information about the focus and scope of the journal, the masthead, author guidelines, homepage content, and other information that will display to the public on the website. Also, we train them in how to configure the editorial workflow, such as creating custom review
forms, setting the intervals for automated reminder e-mails, and managing user accounts. In the second session, we train them to use the editorial workflow to view submissions, conduct peer reviews, and manage the copyediting, layout, and proofreading through the system. We also train them in how to create and assemble an issue.

Several of our journals are based at the University of Pittsburgh, and we can provide in-person training. However, many of our partners are not affiliated with the University of Pittsburgh and are based around the world. For those journals, we provide training via Web-based conferencing tools. The majority of communication outside of the training meetings is through e-mail communication, which allows us to have a record of communication regarding the journal that is not available when discussions are conducted over the telephone.

While the journal is compiling its first issue, we are on hand to answer questions and assist until they are comfortable with the OJS software and the workflow. When the journal is ready to publish, they schedule publication with the ULS at least three business days in advance, with the full issue assembled online and ready for our review at least one business day in advance. The ULS reviews the metadata and article PDF for each issue for quality control. The ULS does not evaluate any of the content from an editorial perspective, but checks that the metadata in the online system matches the information listed on the PDF and also that the DOIs are correct. Once the review has been completed and any required corrections have been made by the journal, the ULS publishes the issue and simultaneously deposits the DOI metadata with CrossRef.

After publication of a journal’s first issue, the ULS issues a press release announcing the journal. The journal is then registered with a variety of abstracting and indexing services. The ULS has a standard list of these services with which we register all journals, but we also ask the journal for any discipline-specific services with which we could also include the journal, and we’ll apply for those on the journal’s behalf as well.

We track usage statistics for each journal’s website using Google Analytics. We administer a master account on Google Analytics for all of the journals we publish but share credentials with our publishing partners on an individual basis as needed. We created detailed documentation outlining the specific steps that need to be taken in order to complete this. Journals then have full access at any time to their journal’s statistics.

For existing journals, the ULS will offer to work with the editorial staff to host back issues and make the entire run available in one place on the current journal’s website.

During the first years of our publishing program, the ULS offered these services free of charge, provided the editors agreed to share the content of the journal with a global audience through open access, without subscription costs. As part of a sustainability plan implemented in 2012, we instituted a schedule of fees for services. This new policy does not cover all of our costs, and the program is still subsidized by the library’s operating budget. Incentives are given for open access publications, and discounts apply for journals with editors affiliated with the University of Pittsburgh.
Also in 2012, the ULS acquired the Scholarly Exchange® hosting service, an online journal publishing service offered to the global research community to foster and encourage open access to scholarly research. The Scholarly Exchange® service is also based on OJS software. Offered free for the first year and at a very low cost thereafter, the Scholarly Exchange® service increases opportunities to disseminate research results for scholars in low-resource settings worldwide who may not have the infrastructure or technical expertise in-house to support online publishing ventures. Although this service is very much in line with the ULS’ support for open access and our desire to support scholars in disseminating their research findings, it is important to note that the ULS is not the publisher of any journal hosted on the Scholarly Exchange® service.

Copyright for materials published in ULS journals is typically retained by the author under a Creative Commons Attribution license. As part of the submission process, authors are required to sign the ULS’ standard Author Copyright Agreement in which they warrant that they own the copyright for the original work submitted and grant to the ULS the nonexclusive right to publish their work in any format. Authors are also required to furnish, at their own expense, written evidence of the permissions or consents for use of any third-party material included within the article submitted. In the event of a copyright infringement claim or other legal challenge to the University of Pittsburgh, the ULS may require the editorial staff to redact or remove the offending material from the journal.

By publishing new open access content, libraries can not only help meet the most fundamental needs of the researchers they support, but can simultaneously help transform today’s inflationary cost model for serials.

Because of its commitment to open access to scholarly content, the ULS views its e-publishing activities as a core service. With each passing year and each acquisitions budget cycle, research libraries have more to gain by becoming publishers. By publishing new open access content, libraries can not only help meet the most fundamental needs of the researchers they support, but can simultaneously help transform today’s inflationary cost model for serials. The publication model described here can serve as a guide for libraries wishing to implement similar programs.
Reference

Appendix

Journal Proposal Form
University Library System, University of Pittsburgh
2011-08-16

1. Title of journal

2. Frequency and schedule of publication

3. Scope, focus, and description of content

4. Target audience

5. Types of content included (essays, research papers, book reviews, etc.)

6. Scholarly review. For each type of content listed in 5) above, describe the intended review process. Address whether the content is peer reviewed, and if so what process is followed to ensure impartiality (single blind, double blind review, etc.). Describe the standards, criteria and process for selecting reviewers.

7. Proposed editorial personnel
   a. Editor(s) in chief
      Identify the individual(s) responsible for academic content and executive management of the publication, including name, title, organizational affiliation, and past experience in scholarly publishing.
   b. Other editors, if any
      Identify the individual(s) involved in day-to-day management of the publication, including conducting reviews, assignment of copyediting, proofreading, layout, communication with authors, etc. For each editor, provide name, title, organizational affiliation, and past experience in scholarly publishing.
   c. Editorial Board (or Advisory Board)
      For each Board member, list name, title, and organizational affiliation.

8. Does a funding source exist for this journal? If so, describe the source of the funds and state how they will be used. Include support from sponsoring institutions or organizations revenues from subscriptions sales or advertising, and any other sources of support. What specific activities does the funding support?

9. Are any author fees charged? If so, provide details. What specific activities do author fees support?

10. Target date for first call for papers with ULS as publisher (Web site go-live date)

11. Target date for publication of first issue with ULS as publisher

ULS Journal Proposal Form

Authors who publish with this journal agree to the following terms:

1. The Author retains copyright in the Work, where the term "Work" shall include all digital objects that may result in subsequent electronic publication or distribution.
2. Upon acceptance of the Work, the author shall grant to the Publisher the right of first publication of the Work.
3. The Author shall grant to the Publisher and its agents the nonexclusive perpetual right and license to publish, archive, and make accessible the Work in whole or in part in all forms of media now or hereafter known under a Creative Commons Attribution 3.0 License or its equivalent, which, for the avoidance of doubt, allows others to copy, distribute, and transmit the Work under the following conditions:
   a. Attribution—other users must attribute the Work in the manner specified by the author as indicated on the journal Web site;
      with the understanding that the above condition can be waived with permission from the Author and that where the Work or any of its elements is in the public domain under applicable law, that status is in no way affected by the license.
4. The Author is able to enter into separate, additional contractual arrangements for the nonexclusive distribution of the journal’s published version of the Work (e.g., post it to an institutional repository or publish it in a book), as long as there is provided in the document an acknowledgement of its initial publication in this journal.
5. Authors are permitted and encouraged to post online a pre-publication manuscript (but not the Publisher’s final formatted PDF version of the Work) on institutional repositories or on their Websites prior to and during the submission process, as it can lead to productive exchanges, as well as earlier and greater citation of published work (see The Effect of Open Access). Any such posting made before acceptance and publication of the Work shall be updated upon publication to include a reference to the Publisher-assigned DOI (Digital Object Identifier) and a link to the online abstract for the final published Work in the Journal.
6. Upon Publisher’s request, the Author agrees to furnish promptly to Publisher, at the Author’s own expense, written evidence of the permissions, licenses, and consents for use of third-party material included within the Work, except as determined by Publisher to be covered by the principles of Fair Use.
7. The Author represents and warrants that:
   a. the Work is the Author’s original work;
   b. the Author has not transferred, and will not transfer, exclusive rights in the Work to any third party;
   c. the Work is not pending review or under consideration by another publisher;
   d. the Work has not previously been published;
   e. the Work contains no misrepresentation or infringement of the Work or property of other authors or third parties; and
   f. the Work contains no libel, invasion of privacy, or other unlawful matter.
8. The Author agrees to indemnify and hold Publisher harmless from Author’s breach of the representations and warranties contained in Paragraph 6 above, as well as any claim or proceeding relating to Publisher’s use and publication of any content contained in the Work, including third-party content.

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ULS Author Copyright Agreement

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Submitting Imagery

Files should be submitted as a JPG or PNG files. The image file should be at least 3600px X 1200px and 300dpi for best output for both print and Web design.

For Web images, it may be of smaller dpi, but larger images are preferred to allow for cropping where needed.

Also, it is important to have the appropriate copyright permission for all images submitted.

Please note the following:

1. Lower-quality files can also be submitted (if necessary) but are not preferred due to lower-quality output when trying to print these image files. As a result, these files may be rejected after review.
2. Other file formats such as TIFF and GIF can be submitted but may be rejected after review.
3. Extremely rich and vibrant colors may have a color shift when converting to CMYK for printing. This is something we will try to avoid and adjust as much as possible when converting your file from RGB (Web) to CMYK (print); however, it is best that the journal is aware of this possible slight color change.

Example of journal provided images

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Submitting Logos

Logos should be in a vector format to allow for good results regarding resizing and avoiding pixelization of the logo. The preferred file type is an EPS or AI file with everything in outlines.

PDF files can also be accepted, but possible font issues may occur if the designer does not have the particular font that was used.

The files described above allow the designer to resize the logo and place it anywhere on the Web site (e.g., a change to the layout of the banner). This format would also allow the designer to enlarge the logo for use in the Word template for articles.

As a precautionary note, however, Illustrator also allows the option of adding rasterized effects, which should be avoided when creating any of the files mentioned above. Files with these raster effects may result in some unexpected outcomes.

Using Adobe Photoshop

Unfortunately, logos created in Photoshop are not recommended. However, if a logo was created in Photoshop, you are required to provide at least two files, one for print and one for web, because it is a raster-based program and it is problematic regarding the resizing and pixelization issues mentioned above.

Usually acceptable files from Photoshop include PNG, GIF, JPG, or TIFF.

EPS and PDF files can be created from Photoshop, but these files are generally not completely vector based, which may result in some unexpected outcomes.

If any there are any issues concerning the submission of your logo, you will be contacted as soon as possible to resolve the issue.
Page 5

ULS Open Journal Systems Design Brief

Part 2: Training in Challenges of Journal Management and Leadership

To train our librarians in the Journal's Design Brief, we will use the IDS Project Press, 2013. Available at http://opensuny.org/omp/index.php/IDSProject

This work is for use of scholarly communication.

Creative Commons Attribution-Share Alike 3.0 United States License.

This work is for use of scholarly communication.


In designing the Journal's Design Brief, the Office of Scholarly Communication designed the guide to be easy to use. Our goal is to provide our librarians with the tools to effectively manage and assist in the design of a new journal.

The following is a guide to help you begin the design of your journal's design.

At this point, you will have a draft of your journal's requirements, including the following:

- Web elements (CSS and JavaScript)
- Print elements (Word and PDF)
- Timeline (for key dates and deadlines)
- Client feedback
- Status of the project
- Training documents
- Meeting notes

After this, you will have a draft of your journal's design specifications. This draft should be presented to the client and all other stakeholders. After this process, you will have a draft of your journal's design.

Part 3: Training in Changes of Journal Management and Leadership

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Part 3: Training in Changes of Journal Management and Leadership
Journal Article Template Design Questionnaire

An important element of the graphic design for a journal is the development of a standard template that defines the appearance, formatting, and layout of every article. For better or for worse, the appearance of an article may greatly affect the reader's perception of the reliability and validity of the content. Many readers will choose to print individual articles for reading. When printed, the article becomes separated from the online environment. The template must include enough information so that a complete citation to the work can be reconstructed from the printed article and so that the reader can identify and locate the Web site from which the article came. Therefore, we require the following to appear on every page: journal title, journal URL, enumeration and chronology to identify the issue, and DOI.

Since the design of the template should harmonize with the design of the journal Web site, design of the standard Article Template cannot begin until the journal Web site design is complete.

The following must appear on EVERY page of each article.

<table>
<thead>
<tr>
<th>Journal Title</th>
<th>Header</th>
<th>Footer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Journal URL</td>
<td>Header</td>
<td>Footer</td>
</tr>
<tr>
<td>publishing enumeration and chronology that uniquely identify the published issue and match the issue title as displayed online (might not use vol #, might include season, month, sections, parts, etc.)</td>
<td>Header</td>
<td>Footer</td>
</tr>
<tr>
<td>DOI (Digital Object Identifier)</td>
<td>Header</td>
<td>Footer</td>
</tr>
</tbody>
</table>

The following must appear on at least 1 page of each article.

<table>
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<th>All Headers</th>
<th>All Footers</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>End of article only</td>
<td>On first page only</td>
</tr>
<tr>
<td>Statement of CC license and Publisher Information/Logos</td>
<td>All Headers</td>
<td>All Footers</td>
</tr>
<tr>
<td></td>
<td>End of article only</td>
<td>On first page only</td>
</tr>
</tbody>
</table>

Other decisions to be made by the journal

General Layout Information

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<th>Yes</th>
<th>No</th>
</tr>
</thead>
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<td>2</td>
<td>3</td>
</tr>
<tr>
<td>Separate Title Page (with body of article beginning on second page)</td>
<td>Yes</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>Abstracts</td>
<td>Yes</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>If yes to previous question: Set abstract apart from article other than 'Abstract' heading?</td>
<td>No</td>
<td>Appear on first page with article starting immediately below</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Yes, by color and/or borders</td>
<td>Appear on first page alone with article starting on the next page</td>
<td></td>
</tr>
<tr>
<td>Reference Formatting</td>
<td>Footnotes</td>
<td>Endnotes</td>
<td></td>
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</tr>
<tr>
<td>Bibliography Appearance</td>
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<td>List (no indentation)</td>
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<tr>
<td>Placement of captions for tables or figures</td>
<td>Above for both</td>
<td>Below for both</td>
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<td>Above for Table; Below for Figures</td>
<td>Above for Figure; Below for Figure</td>
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</tr>
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<td>Author Information Location of Author Information in relation to Article Title</td>
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<td></td>
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<tr>
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<td>Superscript, Below name, End of article</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Author's Affiliation</td>
<td>Superscript, Below name, End of article</td>
<td></td>
<td></td>
</tr>
<tr>
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<td>Beside name, Below name, End of article</td>
<td></td>
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<td>Author bio</td>
<td>Superscript, End of article</td>
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</tr>
<tr>
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</tr>
<tr>
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<td>Heading Section Numbering</td>
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</tr>
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<td></td>
</tr>
<tr>
<td>Page number placement</td>
<td>Header, Footer</td>
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</tr>
<tr>
<td>Alternating Page Number Location depending on if an even or odd page number</td>
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</tr>
<tr>
<td>Running Information</td>
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</tr>
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<td>Article Title</td>
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<tr>
<td>ULS Journal Article Template Design Questionnaire</td>
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Timeline for development of word template

After formatting the Web site's look and feel with the banner and css layout changes, we will discuss your general preferences for the Word template's design. This design will reflect your Web site as much as possible. This is an opportunity for you to share other sample journal article layouts that you like and how you would like your article layout to look, as well as to help us understand the look and feel you wish to achieve.

We will set a target deadline for development of the template based on client schedule requirements, the complexity of the design work, and our in-house scheduling capabilities and constraints. After the initial article template design is presented, the design will be refined according to the journal’s specifications. The journal will have one month to request further design changes, after which the initial template design process will be closed. After these changes have been implemented, the designer will provide the journal with the template.

You will also be given a template help guide that should aid you in using the template and familiarize you with its features. Your template help guide will be updated with any newly requested information and/or styles that have been created. As your journal changes, the template/help guide can easily be updated to reflect these changes, which will be done by the designer.
ULS Digital Publishing Introductory PowerPoint Presentation
Preserving and Publishing Digital Content Using XML Workflows

Jonathan McGlone
University of Michigan Libraries, Michigan Publishing

IN THIS CHAPTER

Theme
Production streamlining

Highlighted Services
Online journal & monographs hosting and production

Software/Platforms Utilized
Drupal, DLXS, Adobe InDesign, Calibre

Resources
Example XML workflows

In digital publishing, encoding documents in XML can produce several advantages for libraries that have invested in hosting and publishing services or plan to in the future. XML workflows enable publishers to output content quickly and easily in several electronic formats (EPUB, HTML, PDF); repurpose content into other channels (catalogs, websites, databases, printers); automate processes; scale their services and publications; and preserve the digital content for the future.

Michigan Publishing (formerly known as MPublishing), the primary publishing unit of the University of Michigan and a part of its University Library, began encoding born-digital documents in SGML—and later XML—to publish journals and monographs in the late 1990s. Over time, Michigan
Publishing has established its own semi-automated XML workflow to achieve these ends in its work with a growing list of publishing partners. Today Michigan Publishing provides web-hosting and conversion services for over 20 active open access and subscription-based academic journals (http://www.publishing.umich.edu/publications/journals), the open access Digital Culture Book Series (http://www.digitalculture.org), and the open access imprint Open Humanities Press (http://openhumanitiespress.org/book-titles.html), among others.

The following chapter will introduce the reader to a few flavors of XML encoding used at Michigan Publishing such as JATS XML, Scribe, and TEI, as well as present a generalized workflow for creating and publishing encoded XML documents for monographs and journal articles that begins with a Word document, outputs an XML encoded document, and presents the article or monograph to readers as HTML and PDF, yet is also available for repurposing into other channels.

**Before You Start**

Before you start a digital publishing project, determining how the content will be used by readers and the project’s preservation requirements are an important first step. Does the content need to be searchable? Will it offer content in multiple formats—PDF, mobi, EPUB2, readable on the Web as HTML? Is there interest in re-purposing specific pieces of the content in other channels such as a library vendor’s database? Will you be registering DOIs (Digital Object Identifiers) for the content? Do you need to ensure that your content can be accessed and migrated to new formats five to ten years from now? Twenty years from now?

If your answer is yes to any of these questions, you’ll want to strongly consider encoding your documents with a markup language such as XML. If you simply need to present images of the original pages (referred to as page images), then scanning, conducting OCR (Optical Character Recognition), and presenting content on the Web as downloadable PDFs with searchable OCR text may be enough. Because the upfront costs to establishing an XML workflow can be quite considerable and not every digital publishing project requires XML encoded documents, defining the scope and aims of the project as early as possible can help minimize any unneeded efforts, and help to focus your publishing project’s production processes (Gross, 2003).

**Benefits to Using XML**

XML works best with text-based content that has structure. In the academic publishing world, a majority of content published is text based. What’s more, traditional journal articles and scholarly monographs use a fairly predictable structure. This is especially true for journal articles.

Since the 1990s, academic publishers have been taking advantage of this predictable structure by implementing XML in production workflows. With XML, publishers can validate content and ensure it is in the correct order; for example, running tests to check that footnotes are at the end of a document or that an abstract appears before the first paragraph. Validation can
also ensure there is consistency across multiple XML documents, making sure that headings or footnotes have been encoded the same way. When working with tight deadlines and several projects at once, these types of validation can save a lot of time.

Structure can also be relied upon to automate processes. When converting XML to other formats such as HTML, the structure can be used to programatically apply character styles to section headings or chapter titles. Or when registering DOIs for journal articles, article metadata can be re-used to automate an XML submission to the DOI registrar, CrossRef.

From a preservation and access perspective there are several benefits to encoding your documents with XML. As an open file format, reading and exchanging your XML data can take place regardless of operating system, platform, or software. Because it is open, chances for the loss of data when sharing your XML content with library vendors or other institutions is greatly reduced. In addition, the open nature of the file format also ensures future access to your XML documents as long as there are programs that can read and write Unicode text.

What’s more, because XML aims to keep content separate from the design elements (e.g., line spacings, margins, font types), your content can remain accessible as media and devices evolve and change. For example, if a new tablet reader format emerges, you won’t risk the chance of losing any content when migrating to these new formats; you simply need to repurpose your XML to the new format’s syntax.

In order for your XML content to be machine readable and interoperable, you’ll want to select a Document Type Definition (DTD) that imposes rules upon how you mark up your content.

Most importantly, encoding documents in XML allows content to be repurposed into other formats using XSL Transformations (XSLT) or other programming languages. Using XSLT, you can move your XML into different XML Document Type Definitions (DTDs), such as InDesign’s, for typesetting a PDF, HTML for Web reading, or e-book file formats such as mobi or EPUB. The ability to transform structured data into another format gets at the core of the convenience of an XML workflow in digital publishing.

A Few Flavors of XML Encoding Relevant to Academic Publishing

In order for your XML content to be machine readable and interoperable, you’ll want to select a Document Type Definition (DTD) that imposes rules upon how you mark up your content. A DTD is a set of tag names and element attributes that are agreed upon so use and
application of tags is the same across documents. While there are many DTDs to select from, the following section reviews those used in Michigan Publishing’s journal and monograph workflows.


All of Michigan Publishing’s journal content and some of its monographs are available online through a hosted installation of DLXS (Digital Library eXtension Service), digital library collection software developed at the University of Michigan. DLXS provides a storage mechanism for our XML encoded files and indexing and searching tools, as well as a set of customizable XSLT stylesheets to transform content from XML to HTML rendered in readers’ web browsers.

Although DLXS has its own Text Class DTD consisting of basic requirements in order for the software to index, search, and transform the XML, we use our own in-house version of TEI to provide higher-level encoding of our documents (DLXS, 2009). In the end, the resulting XML document is TEI wrapped in the Text Class DTD. TEI best suits the needs of Michigan Publishing because of its flexibility and modularity, allowing for customizations related to our digital collection platform.

From the beginning TEI was designed by the humanities research community to be able to support as many kinds of materials as possible, striving to “be applied to any natural language, literary genre, text type without restriction on form or content” (Burnard & Bauman, 2013). TEI was originally conceived to describe print documents in as much detail as possible, representing in electronic form text that already exists in traditional media. Therefore, it is suited well for academic publishing materials, especially dictionaries and running text materials like monographs or journals. In addition to the support of a very active and knowledgeable community of practitioners, the TEI community has developed several conversion tools—to TEI XML and from TEI XML to other formats—that are designed for users to adapt and customize (see [http://www.tei-c.org/Tools/Stylesheets/](http://www.tei-c.org/Tools/Stylesheets/)).


The Journal Article Tag Suite (JATS) represents the emergence of a distinct set of XML elements and attributes aimed at academic journals. As a newly created NISO standard, it provides a common XML format for publishers and archives to exchange and preserve journal content. Like the majority of XML DTDS, JATS does not attempt to preserve the journal form or content style (NISO, 2013).

Prior to standardization, JATS was used as the National Library of Medicine DTD. Developed at the National Center for Biotechnology Information (NCBI) and the National Library of Medicine’s PubMed Central, it began as a set for archiving life science journals and later expanded as needs grew. It is now used by journals worldwide, especially journal archives.
at PubMed Central, Portico, and HighWire Press, as well as the Library of Congress and British Library (Beck, 2011).

As Michigan Publishing evolves away from publishing digital content using DLXS and the Text Class/TEI DTD, JATS will become our future journals DTD. As a replacement to DLXS, Michigan Publishing is currently developing web-based tools to allow publishers to easily transform content from Microsoft Word to JATS XML and later deposit and publish this content in HathiTrust (http://www.lib.umich.edu/mpach).

**Scribe Markup Language (ScML)**

Unlike the other DTDs described above, Scribe Markup Language (ScML) is a proprietary XML format designed for moving documents from a digital to print environment. Specifically developed for the publishing industry, subscribing publishers/institutions have access to the ScML documentation and dictionary along with Scribe’s document workflow tools. Scribe’s pre-developed set of workflow and conversion tools are extremely useful for publishers looking to begin or transition into an XML workflow. More recently, Scribe has begun developing tools to convert content to e-book formats such as EPUB2.

Because it is designed specifically for publishers, the ScML DTD includes additional elements that indicate elements important to typesetters and the typesetting process, such as first paragraphs, paragraphs after heads, or those that continue onto pages (Scribe, 2013). Using a set of proprietary macros and plugins for Microsoft Word, styles are applied to the Word document manuscript to give the document structure (headings, first paragraph, etc.), which a programmed script interprets to transform the document to the corresponding ScML XML.

Michigan Publishing has adopted ScML and its workflow tools for its print projects under the University of Michigan Press imprint. In addition, adoption of this workflow has allowed Michigan Publishing to develop and offer “rapid typesetting” services for journal publishing partners—producing typeset PDFs for additional fees. Increasingly, with the addition of tools that assist in the conversion to EPUB2 and mobi, ScML will likely become a “pivot” format to produce a version for multiple platforms that also converts to JATS XML or DLXS Text Class/TEI as a preservation format.

**Engineering an XML Workflow**

There are two main approaches to XML workflows for digital publishing: XML-In and XML-Out. XML-In workflows involve the creation of the XML files at an early stage in the production process, such as authoring in XML (highly unlikely), having a copy editor prepare a word document for XML conversion, or prior to the design and typesetting process (Bullock, 2012). XML-Out workflows maintain a standard production processes—writing, editing, proofing, and typesetting—and XML is created in a back-conversion process (Strange, 2003, p. 158). Depending on the individual project or your relationship with the content provider, you may use one or the other.
Figure 1. XML-In vs. XML-Out.

The sooner content can be converted to XML, the quicker and more efficient your workflow will become. For example, when generated early in the production process, XML can be converted to HTML for online review and proofing by editors and authors before it is typeset. The XML file becomes the source or master file for both your digital and print output. In addition, with an early XML workflow, the typesetting process can be automated using templates in programs like InDesign when importing XML content, a process that is especially useful for journals because of their consistent formatting across volumes and issues.

The digital publishing activities of Michigan Publishing have relied primarily on XML-Out because of our tendency to provide only conversion and hosting services for journals and digital monographs, similar to many libraries providing publishing services. But as demand for typesetting services, EPUB versions, and the need to minimize costs increase, adopting an XML-In workflow where copy editors or conversion assistants structure content in a Microsoft Word document by applying paragraph and character styles while reviewing content is likely to take place.

Basic XML-In Conversion Workflow

In a basic XML-In workflow (Figure 2), content is prepared by the author in familiar authoring tools such as Microsoft Word or Open Office, converted to XML, then transformed to produce PDF, HTML, and EPUB versions of the content.
Figure 2. Basic XML-In Workflow. XML is generated after copyediting and just before design and typesetting. The HTML version produced here can be used as the proofing copy.

When receiving the content, customized paragraph and character styles can be applied to the RTF or DOCX file to identify elements such as the author’s name, title of the chapter or article, footnotes, paragraphs, blockquotes, and section headings. These styles give a basic structure to the document, which aides a conversion script written in a programming language such as Perl or Python to identify and convert elements to their corresponding XML elements; e.g., paragraphs to <p> tags or blockquotes to <p type="blockquote">. Michigan Publishing uses the proprietary software R2Net (http://www.logictran.net/products/r2net.html) for command line RTF to XML conversion, which offers support for conversion to customized document types, which is essential in conversion to DLXS Text Class DTD. A free and open source alternative for RTF conversion exists in Paul Tremblay’s rtf2xml project (http://rtf2xml.sourceforge.net/). In addition, the TEI Consortium has produced a XSL stylesheet to aide in the transformation of DOCX to TEI XML (https://code.google.com/p/oxygen-tei/source/browse/trunk/oxygen-tei/frameworks/tei/xml/tei/stylesheets/docx/from/docxtotei.xsl?r=9 ).

Once the content is identified in XML, further XSL transformations (XSLT) can be applied to convert the content to other markup languages, such as InDesign Tagged Text (IDTT) for importing into InDesign (see http://help.adobe.com/en_US/indesign/cs/taggedtext/indesign_cs5_taggedtext.pdf), or to any flavor of HTML for display on the Web. When content is in a program such as InDesign, content can be professionally typeset and a print-ready PDF can be generated. Because EPUB is a packaged version of HTML, once your content is in HTML format, converting to EPUB or one of a plethora of other e-book formats using software such as Calibre (http://calibre-ebook.com/) is ideal, as it can help preserve styling and formatting applied to the HTML. Again, the TEI community has developed a set of XSL stylesheets to aid in the transformation of TEI XML to other formats such as HTML, HTML5, EPUB, and EPUB3.
Journals (XML-Out Workflow)

Traditionally, Michigan Publishing’s journals workflow has worked as a standard XML-Out workflow, primarily determined by our relationships with publishing partners. For example, journal editors conduct their peer review, copy editing, and in most cases, typesetting, independently. Once content has been finalized, it is submitted to Michigan Publishing based on pre-defined specifications for submitting content in the form of a checklist to ensure all figures, tables, images, and manuscripts are present and correctly named.

When providing hosting and conversion services, you need to decide how flexible you will be in what formats you will accept. If you have a loose policy on deliverable formats, be prepared to receive all different types of formats and content from partners. In the past, not wanting to preclude publishing based on a partner’s established authoring and editing workflow, Michigan Publishing has allowed publishing partners to deliver manuscripts in the form of Word documents; Rich Text Files; PDFs; InDesign, Quark, and TIFF files; and bound volumes and paper documents, thus forcing the development of several different and diverging conversion workflows. As we are now operating at a larger scale, our preferred delivery formats for content bound for the Web are Microsoft Word documents or PDFs.

Figure 3. Michigan Publishing Journals XML Workflow.

Figure 3 demonstrates a typical journal workflow, where Word documents and a typeset PDF are delivered to Michigan Publishing to offer HTML, PDF and EPUB2 files available to readers. In Step One, metadata for each article is entered into a customized Drupal database, recording information such as the author(s), title, keywords, volume, issue, DOI (which will be registered upon publication), and other relevant article and issue information. Database metadata is exported to an XML encoded text file that serves as the header of article, later to be joined with content. Metadata is purposely stored separately from the content of each article.
to easily manage and apply global changes to journal information and to reduce the number of keystrokes by using calculated database fields.

Separately, a Word document is converted to an RTF file where it is given structure by applying custom Word styles to the elements of the article, as described in the previous section. Using a script developed at Michigan Publishing, the RTF file is converted to an XML encoded file, which is joined with a corresponding header and validated. Often, the conversion from RTF to XML is not a perfect process, requiring manual corrections before proceeding. Having a validation process in place ensures content is marked up uniformly and can be indexed and transformed to HTML correctly. After passing validation, it is indexed in the DLXS system. When a reader requests a specific article, a complex system of XSL stylesheet templates transforms the XML on the fly into HTML in the reader’s browser. Using Calibre e-book management software, HTML content is converted to EPUB2 files, which are presented to readers for download in addition to or in place of a typeset PDF. In Step Seven, XML’s custom Perl scripts are used to repurpose XML to generate a HTML table of contents for the current issue and RSS feeds, and automate the registration of DOIs with CrossRef. In addition to this type of repurposing, having our content in XML allows us to also submit content to bibliographic and full-text databases interested in indexing specific journals.

**Monographs (Scribe Well-Formed Document Workflow, XML-In)**

Michigan Publishing has published open access monographs on the web since 2001 using a variety of XML workflows, from back conversion of scanned PDFs to a similar process described above in Figure 3. Currently it is experimenting with a fully integrated XML-In workflow that utilizes Scribe’s Well-Formed Document Workflow to aid typesetting, allow for in-house conversion to various e-book formats, and to present open access versions of texts to readers on the Web in HTML.

![Figure 4. Michigan Publishing Desired XML-In Monographs Workflow.](http://opensuny.org/omp/index.php/IDSProject)
Similarly to the workflow described in Figure 3, in Figure 4 basic metadata is keyed into a central database, which is later exported as marked-up TEI XML, merged with the body of the content, and used for the online version of the monograph. After receiving the draft manuscript in Microsoft Word DOCX format, copyeditors give structure to the document using Scribe-specific Word styles. This process is very similar to the process described in Figure 3, with the exception that the styles transform to ScML XML. After the copyediting process is completed and final, the DOCX is transformed to ScML and validated. Once in ScML, Scribe’s conversion script generates an InDesign Tagged Text file for importing to InDesign, where images are inserted, the content is typeset, and the document is prepared for export to PDF and other formats for small-run printing or print on demand services. Although not utilized at this point, Scribe also provides tools to flow the typeset content from InDesign back to ScML for conversion to EPUB and other e-book formats. For web delivery, ScML is transformed to DLXS Text Class using XSL stylesheets, and run through the same process journals receive. It should be noted that with monograph publishing and production, the XML workflow should be flexible because monographs often have unique features and aspects that won’t fit smoothly into your XML DTD or workflow.

**Manual Intervention and Quality Control**

While most of this process is automated, manual intervention and clean-up is always necessary during the conversion process. Often with RTF or DOCX to XML conversions for both journals and monographs, applied styles in Word do not get translated to the proper XML elements. This is where validation and error reporting post conversion can come in handy—if errors occur in the transformation, they will be identified and can be manually corrected before proceeding. It should also be stressed that a round of quality control or review of HTML is always necessary when converting content to ensure that XML elements are being transformed and rendered in the web browser correctly.

It should also be stressed that a round of quality control or review of HTML is always necessary when converting content to ensure that XML elements are being transformed and rendered in the web browser correctly.

**The Future of XML Workflows**

XML is well suited for publishing traditional scholarly content in multiple formats, repurposing into multiple streams, and preserving content for the long term. While these
needs will continue to exist, new and emerging forms of scholarly communication will require
new and different workflows. From another perspective, existing XML workflows should not
constrain authors who want to experiment in new forms of publishing that might not fit into
traditional production models.

For example, does it make sense to migrate content such as blog posts from HTML to XML
when re-publishing them in electronic form? If a publisher is opting to take on diverse projects
where content layout and format varies from manuscript to manuscript, does it make sense
to impose a strict XML workflow on these projects (Daly, 2013)? What about projects that
use HTML5 for video and user interaction? Beginning these projects with XML may not be a
worthwhile effort because it can’t represent video and coded interactivity. If EPUB3 allows for
both JavaScript and HTML5 and does not utilize XHTML, what is the point of using XML at all?
In short, as scholarly web publishing begins to rely on various types of content, interaction, and
multimedia, XML and XML-based workflows may not always be the most efficient answer for
non-traditional scholarly publishing.

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In 2007, the Columbia University Libraries/Information Services (CUL/IS) established the Center for Digital Research and Scholarship (CDRS) to explore and provision new research support services for the university in all areas of scholarly communication, including online scholarly publishing1 (Renfro and Neal, 2012). One of six organizations comprising the Digital Programs and Technology Services group within CUL/IS, CDRS assists faculty, students, staff, and university affiliates with their scholarly communication and digital research needs through a suite of services: publishing support, digital research repository, conference websites and

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video recording, research data management, and more.\(^2\) Nine of its 17 full-time employees belong to a production team comprising developers, designers, and project managers from diverse academic and professional backgrounds, only one of whom holds a master’s degree in library science.\(^3\)

CDRS seeks publishing partnerships with a variety of on-campus groups and individuals (Perry, Borchert, Deliyannides, Kosavic, & Kennison, 2011) and embraces partnerships with allied organizations such as scholarly presses and societies as well (Kennison, Panourgia, & Tartar, 2010). A proponent of eliminating barriers to the progress of research, CDRS advocates for open access (OA) publishing models. This is exemplified by *Tremor and Other Hyperkinetic Movements*, the peer-reviewed, faculty-run OA journal now indexed in PubMed, which CDRS publishes. To help offset the OA journal publication costs, *Tremor* authors pay an article-processing fee, although waivers and alternative methods of funding are available\(^4\) (Perry et al., 2011). In practice, CDRS’ approach to publishing support is business model–neutral, however, and OA is not a requirement for partnership.\(^5\)

**A strategy for keeping this service sustainable and scalable has been the adoption of a tiered structure based on design and customization needs to control flow.**

The journals program at CDRS has been successful, providing publishing support to 16 journals using the Open Journal Systems or WordPress platforms and interactive tools such as blogs and wikis in subject areas ranging from sciences to the humanities. A strategy for keeping this service sustainable and scalable has been the adoption of a tiered structure based on design and customization needs to control flow. Projects can take anywhere from one week for a barebones installation to over 17 weeks for the Premier service (Perry et al., 2011).

Drawing on digital project management best practices, a typical project goes through several phases. Following a requirements-gathering and analysis phase, a Master Service Agreement and project plan are drawn up. Production work consisting of information architecture, design, and development ensues, followed by quality assurance testing prior to launch. Accessibility and usability principles are adhered to throughout the lifecycle of each project. CDRS provides extensive technical and administrative support throughout its publishing services: applying for International Standard Serial Numbers (ISSNs), procuring domains, hosting, reporting Web analytics, maintaining and updating websites, content archiving, and providing training.\(^6\)

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\(^3\) Ibid.


\(^5\) Ibid.

Service Evolution

The scholarly publishing program at CDRS, informed by the broader discussion around publishing in libraries with and without the partnership of a scholarly press, therefore began with an initial development and rollout of publishing services and campus partnership projects. Throughout the short history of the program, however, partners have presented projects to the Center staff with requirements and contexts that fall outside of the expectations of its explicit offerings. As a service of the libraries to the Columbia campus community, CDRS’ approach to such project proposals is to be adaptive and modify specifications through amendments to the Master Service Agreements, so long as the resultant project still falls with the CDRS mission statement and scope. This open approach to project partnerships has enabled the staff of the Center to identify some emergent Web publishing project types through the application of some broad categories to be explored in this chapter: support for projects with significant or near-total external development contributions; projects with pronounced Web-first orientations; and projects that supplement existing publications.

**Emergent Service Type 1: Hosting With Help**

**Description:** A hosting service for publishing projects with varying technical requirements. Service is provisioned ad hoc, as parameters are determined through initial partner meeting rounds.

**Value to Partners:** Institutional support and badging. Platform and succession stability. Access to vendor services.

**Value to CDRS & Importance to Library-Based Publishing:** Increased support for a new class of publishing partners. The convergence of ease of tools and prevalence of technical aptitude calls for services that accommodate sophistication of users and a variety of project types.

There exists a tension among providers of scholarly publishing service in libraries: are providers of a hosting service to campus publications providing publishing services? The appetite for a hosting service remains healthy among CDRS’ publishing partners, and the most basic levels of the tiered journal service offering are frequent gateways to deeper publishing commitments and complex digital projects.

There has been a marked uptick in recent months, however, in project proposals that lead with a CDRS-hosting solution beyond the “setup and self-administer” paradigm. Whether the manifestation of a more technically adept disposition toward online publishing, the result of large online help communities, or the proliferation of viable open source publishing platforms, both new and returning publishing partners have entered requests for hosting arrangements that support active publication development on the partner side.

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7  [http://cdrs.columbia.edu/cdrsmain/about/](http://cdrs.columbia.edu/cdrsmain/about/).
Some examples:

- A political science journal, the editor of which would like to build a custom content management system (CMS) on Rails for closer integration with the CDRS-managed Academic Commons digital repository and to streamline the process of the journal production for his fellow editors. In the proposed workflow, CDRS would become a partner in the maintenance and ongoing development of the journal once the student developer (now a sophomore) graduates and leaves the journal staff.

- *Columbia Business Law Review*: The CBLR editors were afforded a development sandbox to prepare some changes to the journal site that didn’t otherwise fit into the CDRS production schedule on an acceptable timetable. Changes to the application code were later quality checked and merged back with the main code repository.

- *Baraza Online*: The publication staff constructed an online publication on Joomla using an external developer to begin the work of community building and to demonstrate proof of concept to acquire institutional support. The project has now become a partner-managed Joomla-to-WordPress migration with hosting and infrastructure support mediated by CDRS.

Institutional context is significant; lack of access to adequate computing resources drives entrepreneurial power-users to seek unconventional opportunities. The problem is especially pronounced at Columbia, where access to LAMP infrastructure\(^9\) is brokered by cost-recovery central IT gatekeepers, barring the majority of savvy users from self-installing common applications, let alone those that run on popular alternative frameworks such as Ruby on Rails.

**Emergent Service Type 2: Native Digital Publication**

**Description**: Scholarly publications developed in ways that exploit the online digital format rather than replicate print processes and workflows.  
**Value to Partners**: Combination of Web development, social media, and open access scholarly publishing expertise. Flexible publishing models and full hosting support. Consultation and regular meetings to enhance the project as needs and library publishing landscape shift.  
**Value to CDRS & Importance to Library-Based Publishing**: One-off projects become case studies for testing the limits of available Web publishing platforms, and research for the evolving needs of scholars. CDRS and partners together explore a native digital approach to scholarly publishing that is enhanced by the online format.

This second service type demonstrates CDRS’ increasingly prevalent role in support of new, digitally native publications. In this role CDRS is both publisher and Web development team; both advisor on best practices for open access scholarly publishing and guide for utilizing the tools the online medium offers to enhance the content’s readability, reuse/share-ability, and reach. These scholars come to the Center with the desire to publish original online scholarly content that is readily available for public consumption, with the need for a system that conforms

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\(^9\) Linux, Apache, MySQL, and PHP.
to both their content and their editorial process, and with a good amount of knowledge of the Web’s inherent ability to propagate ideas rapidly among a global community of users.

One example of such a group is a team of scholars in the fields of cultural studies and education, who approached CDRS with initial plans for a new Web-based journal known as Cultural Formations (Cf.). For the Cf. team, whose first issue is introduced with the editorial statement, “Education is no longer concentrated in its institutions (was it ever?), but now circulates via popular culture and the media. Tracing its course, we find ourselves, and in our institutions, we see its inverted image...”10, the act of pushing the boundaries of academic learning, thought, and publication is in itself part of the journal’s central message.

A principal need of the Cf. editors in coming to CDRS was to find a platform that would enable them to take a collaborative approach to editing submissions to the journal, and then to publish them in an open access online journal. Having explored what was offered by the Public Knowledge Project’s (PKP) Online Journal Systems (OJS) software, the editors knew they needed some added flexibility in the editorial workflow beyond what is offered through OJS alone.11 After trying on several initial solutions, including a combination OJS/WikiScholars12 site, as well as an Alfresco13 account for editorial collaboration combined with a WordPress site for journal publication, CDRS and the Cf. editors together landed on the system that would work to publish the first issue. The decided-upon CMS was WordPress: a custom CDRS theme based on Carrington Blueprint 14, with the EditFlow15 plugin installed to provide a flexible editorial workflow.

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10 From http://culturalformations.org/.
12 http://www.wikischolars.columbia.edu/.
13 Alfresco is a collaborative content management platform used by Columbia University Libraries/Information Services; see http://www.alfresco.com/.
14 Carrington Blueprint (http://gastongarcia.com/carringtonbp/category/carrington-blueprint/) is a Carrington Text WordPress Theme (http://carringtontheme.com/) with the Blueprint CSS (http://www.blueprintcss.org/) framework applied. CDRS created a custom theme from this flexible base to meet the design aspirations and content formatting choices of the journal.
15 The EditFlow plugin (http://editflow.org/) allows editors to accept submissions, engage in a collaborative peer-review process, communicate with authors through e-mail or in-page comments, and publish the accepted papers to the website, all within the WordPress dashboard.
CDRS will continue to work with Cf. on a second phase of the project, in pursuit of the following goals:

- Modify the website design and architecture with a focus on responsiveness to enhance readability of content across mobile platforms.
- Structure the content metadata with custom taxonomies to enhance searching.
- Provide tools for descriptive content modeling to improve the representation of various content types within article text (e.g., images, captions, block quotes).

Publishing partners such as the Cf. editors represent the emergence of a demand for a flexible, Web-first model for scholarly publishing in libraries. The CDRS staff accordingly expands its approach to and way of thinking about publication of scholarly materials to be innovators in exploring tools for Web publishing that take advantage of the online medium to enhance the story and bend to meet the needs of new publishing models.

Figure 1: Custom Editing Workflow Diagram Arrived at for Cf., Enabled Through Customization Options Within the Editflow Wordpress Plugin.

Emergent Service Type 3: Companion Site to Print Publication

**Description:** CDRS develops, hosts, and maintains a website which acts as a complementary online presence for an existing publication.

**Value to Partners:** Journal managers maintain existing connections and agreements with established publishers while increasing online presence, especially when such visibility is limited by subscription access. The CDRS partnership enables publication of content that may fall outside of the scope, mandate, and publishing schedule of print formats.

**Value to CDRS & Importance to Library-Based Publishing:** Ability to accommodate partners in a transitional stage between print and online publication. Opportunity to share ideas in promotion of open access to scholarly research, while providing a mechanism for experimentation with different subscription-based models. Opens the door for partnership with established, institutionally affiliated publications.

A large proportion of CDRS’ existing and new publishing partners represent existing print-based publications looking to expand their reach to online audiences. In many cases these are undergraduate- or graduate-level student journals and law reviews that rely on subscription fees to cover publication costs, and typically manage the journal’s peer-review process through e-mail or through in-person meetings. While they occasionally express frustration with their editorial workflow, as well as some desire to provide greater access to their journal’s content, they are not ready to upend their editorial workflow or to move away from a subscription-based model of financial support. They come to CDRS instead with the intention of building or improving their Web presence: placing some new or teaser content online and establishing a connection to online readership.

By strengthening connections with established scholarly publications, CDRS is better positioned to identify areas of support that may be needed as more journals respond to the larger shifts in scholarly communication.

By strengthening connections with established scholarly publications, CDRS is better positioned to identify areas of support that may be needed as more journals respond to the larger shifts in scholarly communication: 1) print to online media as a central format for publication; and 2) paid to free access to scholarly content.

Some examples:

- The editors of *Social Text* and *Comparative Studies of South Asia, Africa and the Middle East* (CSSAAAME), both published through Duke University Press, are working with CDRS to prepare companion sites for their journals that comply with the expectations...
of their publishing agreements (namely that 90% of the published content needs to remain behind the subscription paywall managed by the publisher).

- **CSSAAAME** editors seek to provide a space for short-form articles and discussion pieces as well as multimedia galleries related to the original content that would not translate effectively in the print format.

- **Social Text** has partnered with CDRS to create a sidebar to the main journal, called Is This What Democracy Looks Like?[^16] loaded with timely free-to-access, Creative Commons–licensed essays related to the Occupy Wall Street movement.

- **Current Musicology** journal, in publication since 1965 and with much of its backlist material accessible to the journal editors only in print form,[^17] has approached CDRS for assistance in making a transition to both an online submissions and workflow system and open access to journal issue contents. CDRS has initiated efforts in digitization of backlist print journal archives. Further discussion around the provision of editorial workflow management software and new issues publication, as well as consultation around options for flexible open access models in conjunction with support for any impact on subscription revenue, have been a part of the partner support package.

Through partnership with journals in transition between print and online publication models, CDRS has identified a space for library-based publishing services as a bridge between long-standing historical models that no longer suffice and future aspirations for the success and longitude of the publication.

### Conclusion, Questions, and Next Steps

The aforementioned emergent service types break some of the expectations built into the current service offerings and will need to be formalized if they are to become more than ad hoc reactions to shifting descriptions of publishing support needs. As noted at the outset, CDRS is situated among a tight cadre of library-based digital service centers at Columbia. Immediate next steps to examine the supportability of these emergent service types therefore include collaboration and discussion among CDRS’ internal peers, and this work is already underway.

- The approach at CDRS has been to make every effort to accommodate new partner relationships, especially where providing scholarly publishing support services out of the libraries is challenged beyond its current definitions. Not only do the Master Service Agreement templates need to be updated and amended to accommodate

new opportunities, but a fresh slate of service support questions arise, and answers are yet in short supply:

- How can the technical support be supplied when a partner-developed project breaks after the original developers are no longer with Columbia?
- What kind of upgrade path exists for partner-developed projects?
- How can we best ensure a model of security with the libraries’ IT group for a new class of users with direct server access during development?
- What measures should CDRS have in place to encourage responsible code check-in, deployment, and maintenance practices for partners who share development responsibilities?

In responding to these challenges, the goal will be to initiate new service agreement templates and new messaging to the campus community (both directly and through the network of librarians at Columbia). Some of the support requests CDRS receives fall outside the boundaries of available project resources or supported infrastructure or both. Not all service types identified here will mature, but the exercise of categorizing and assessing them provides the Center with the means to anticipate, grow, and advocate for change in effective ways. On the whole, consumers of library-based publishing services are becoming more technologically adept and increasingly accepting of the library as a capable partner in the production of scholarship. Publishing programs in libraries may likewise grow in capacity with their partners, graduating ad hoc solutions into the service suite over time.

References


Publishing Books & E-books

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In 2003, The Australian National University established the ANU E Press, an innovative publishing solution that was managed by the library. The vision was of a world-class academic publisher taking advantage of new emerging information and communication technologies, which was a major development for the university. It was a response to pressures within the existing model of scholarly communication. In particular, the establishment of the press derived from a recognition of the urgent need to find an effective mechanism for disseminating ANU scholarship that was of high quality but lacked a ready commercial market; a determination to lower or eliminate barriers to access inherent in traditional academic publishing; an acceptance that within the university the operational overheads of the conventional academic press were no longer affordable; and a realisation that emergent...
electronic press technologies offered a feasible alternative to the conventional academic press in terms of cost and available infrastructure (Kanellopoulos, 2007).

Works are made available through two brands—ANU E Press (http://epress.anu.edu.au), a fully peer-reviewed program, and ANU eView (http://eview.anu.edu.au), which delivers less scholarly publications that are peer reviewed internally at the university. Both imprints publish books and journals electronically and in print. The online version (referred to as e-books) are published freely online, with printed copies available for purchase through a print-on-demand service.

The university’s history in publishing is similar to that of many U.S. universities. The ANU Press, a traditional print publishing operation, existed until 1984. It ceased operation because of financial viability issues.

Discussions on forming an electronically based national university press began in 2001. In 2002, Mr. Colin Steele, University Librarian, and Professor James Fox approached Vice Chancellor Professor Ian Chubb to urge the establishment of an ANU E Press. This led to an initial draft of a scoping document by Colin Steele in August 2002, which was developed over the course of the year. It became a formal proposal supported both by Professor Robin Stanton (Pro Vice Chancellor) and Professor Malcolm Gillies (Deputy Vice Chancellor, Education). The proposal was accepted by Professor Chubb and he agreed to provide funding for $1.2 million for three years under the condition that the Division of Information provide funding to support the press as a long-term program.

In the decade following, achievements have included approximately 5 million downloads, 60 titles a year, a well-established set of editorial boards and peer-review processes, changes in the technical platform, and the maturity to be a B-ranked publishing house (SENSE, 2012, http://www.sense.nl/qualityassessment). Significant change has occurred in the acceptance of open access publishing and open access policy reflecting a maturity in scholarly publishing.

This establishment phase was based on a high degree of advocacy and collaboration between the research community, the library, and leadership in a time of turbulent change in scholarly communication. A major factor in the current success of the press is the continued close collaboration with academics.

**Reflections on Contributions to Scholarly Communication**

After almost a decade of publishing, the ANU E Press has now reached a level of maturity which is recognized across Australian universities. Two of the Group of 8 (leading research-intensive Australian universities) have developed e-presses modelled on ANU E Press, the University of Adelaide (http://www.adelaide.edu.au/press/) and Monash University Publishing (http://publishing.monash.edu).

The business model has been refined, with a publishing subsidy grant scheme (http://anulib.anu.edu.au/about/library-committees/publications-subsidies-committee/) introduced.
Subsidies are determined by the Publication Subsidy Committee and two rounds are offered throughout the year. Priorities for funding in 2012 were based on the following principles:

- Author/s are publishing with the ANU E Press.
- Priority is given to emerging scholars.
- Non-ANU E Press publishers must be recognized as quality scholarly publishers.

The subsidy can cover items such as copyediting, indexing, and copyright clearance costs of images for authors of ANU publications.

**Business Model**

Books and journals are published with:

- free access online in a range of formats, including PDF, HTML (view online), ePub and mobi: catering for iPad, Kindle, Apple products, and PC users;
- printed (softcover) copies available for approximately $25. The production of printed copies is contracted out.

ANU E Press bears the costs of the:

- graphic design of the cover,
- publication of the work in the different formats,
- support of the editorial boards and advisory committee,
- running of the website, including the production, website, shopping cart facility, and administration, which includes reporting,
- marketing, promotion, and distribution,
- and dealing with all orders for print copies.

Authors find separate funding for:

- copyediting,
- indexing,
- any image or copyright material costs,
- and other promotional costs such as book launches.

A major factor in the success of the press has been the editorial committees. There are 22 committees covering all subject disciplines. They are very active soliciting proposals and encouraging early-career researchers.

Processes are focused on the authors. The members of the editorial boards work very proactively with academics to encourage the development of publication proposals. Within each faculty and research discipline, board members raise the profile of the press as a publishing option through meetings, seminars, and communication with individual researchers. If feedback is required to encourage a proposal to be better developed, it is undertaken by the author.
When the board approves a publication, ANU E Press staff work very closely with authors. The publishing agreement is very short and clearly written in plain English, and documents including templates are provided with strong support to assist in publication.

Publishing is a streamlined process, with clear instructions on what is required provided to authors. This includes information about the book and how the files are to be provided to the press. The press asks that all files be copyedited and styled (using the E Press template) before production commences. By streamlining these processes, the press is able to provide a turnaround time of between two to four months, as opposed to one to two years as with traditional publishers. Streamlined publishing ensures that the E Press can produce over 60 books a year at a low cost.

ANU E Press has developed a number of cooperative agreements with other organisations to publish a wide range of scholarly materials. The Centre for Aboriginal Economic Policy Research (CAEPR), the Australia and New Zealand School of Government (ANZSOG), Aboriginal History Inc., and Social Sciences Academic Press (China) publish their works through ANU E Press.

Access to titles is convenient and easy. Readers come through Amazon CreateSpace, Google Books, Google Scholar, JSTOR, and the Directory of Open Access Books as well as standard search engines. Additional access can be found through the university’s catalogue, the Australian National Bibliographic database, and the National Library of Australia’s Trove service. Opening up access by providing bibliographic records to libraries has increased scholars’ ease of finding titles.

Authors and readers report that the high quality, peer-reviewed process is one of the most important characteristics of the press. The press is recognised under the government’s Higher Education Research Data Collection (HERDC) scheme, which aggregates research income and research publications data submitted by universities each year (Australia Department of Industry, Innovation, Climate Change, Science, Research and Tertiary Education, 2012).

New Challenges

Changes continue in scholarly communication. Open access is undoubtedly the game changer of the decade. The peak body for Australian universities has called for greater commitment to open access:

Universities Australia believes that there is enormous public benefit in increasing access to the outcomes of all research, especially research that has been publicly funded. There are a number of logistical, practical and commercial issues that need to be addressed to achieve this goal and Universities Australia, with the support of government, is committed to making Australia’s high-quality research output freely accessible to all (Universities Australia, 2013, p. 44).

Both major government funding agencies, the Australian Research Council (Australian Research Council, 2013) and National Health and Medical Research Council (National Health and Medical Research Council, 2012), now have open access mandates requiring open access publication of research outputs from funded research to be deposited into institutional
repositories. These policies shape revitalised engagement with researchers to increase access to research. The ANU E Press is rising to meet this challenge.

New technologies are also at the core of e-book production. In addition to responding to new readers by producing books in formats that can be read on Kindles and iPads, multimedia has been incorporated into works, such as audio-visual material included in *Sounds in Translation: Intersections of Music, Technology and Society*. It includes a variety of video and audio files that are essential to an understanding of the book’s exploration of the idea of the “soundscape” and investigation of acoustic environments. Another example is the publication *Precedence: Social Differentiation in the Austronesian World*, which is accompanied by an hour-long documentary, *Contestations: Dynamics of Precedence in an Eastern Indonesian Domain*, that serves as a companion piece to the text.

**And Next…**

Scholarly publishing and the ANU E Press are facing a new set of challenges. While the ANU was an early e-book publisher, the industry has now matured, leading to a completely new set of issues. Maintaining a focus on scholarship and research means that only limited insights can be gained from looking to commercial publishing.

The emergence of popular e-book readers such as Kindle and iPads has led to greater use of e-books and has led to a huge increase in the number of e-books published throughout the world. It has created an environment where there is much greater competition for visibility. ANU E Press uses social media such as Twitter and Facebook. Not only are there followers on these social media tools, but tweets are available from the E Press homepage, significantly increasing awareness of new titles. Undoubtedly social media products and new access tools such as Flipboard and Zite will change in the coming years. Our focus is on solutions that adapt and deliver content to these new services.

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**Exploring the need for other published resources to support education developments...will create e-publications with richer and more complex content.**

All ANU E Press titles are searchable through search engines, ranking highly with Google Book Search and Google Scholar. With over 100 institutions linking directly to ANU E Press titles, the global access to these e-books is considerable. Growing services to academic libraries to support easy access is also a focus, with Books at JSTOR our newest venture. Data/text mining will be an area for exploration in the coming years, as this has the potential to reach more readers and provide deep access to content.
Reviewing issues in 2013 has identified opportunities to expand into new areas of publishing, particularly e-textbooks, by using new technology in areas such as language skills. This will require the development of new skills in the publishing area and a new relationship with teaching staff to understand how online learning can be supported by the press. Exploring the need for other published resources to support education developments, such as massive open online courses (MOOCs), will create e-publications with richer and more complex content.

New forms of publishing are arising; for example, we see a rise of scholarly short monographs providing more immediate communication of ideas. And more forms will come. Our journey as an e-press continues to provide opportunities to reconceptualize the book in the modern scholarly environment.

References


Client-Driven Workflows and Publishing Models

Kyle Pressley¹
Michigan State University Libraries

IN THIS CHAPTER

Theme
Managing a Print-on-Demand Service

Highlighted Services
Book block setup and production on the Espresso Book Machine

Resources
Sample file submission guides & cost analysis elements

The Espresso Book Machine at the Michigan State University Libraries is a unique and evolving self-publishing service. With a business model that requires energetic and creative clients, we’ve been able to initiate a well-used and well-liked service in the Greater Lansing area. In just two years, the self-publishing service has blossomed to include a community-wide client base, a diverse range of services, and an accessible price-point that a wide range of clients can utilize. Our clients range from MSU faculty, students, and staff to community members in East Lansing and abroad. Our varying services draw people in the door and provide an easy avenue to return for future projects.

¹ Kyle Pressley, as of June 2013, works as the Social Media Specialist at Mercy Health
What Is the Espresso Book Machine?

In Fall 2011, the MSU libraries purchased an Espresso Book Machine (EBM) using a grant furnished by the MSU provost’s office. Geared toward promoting and utilizing new technologies in teaching and learning, the EBM fit perfectly into the campus’ strategic plan and by extension into the libraries’ mission. The grant funded the purchase of the machine and the monthly service costs for three years. This funding mechanism heavily influences how we serve our clients, price our products and services, and, as explored in Ruth Ann Jones’ chapter “An Experiment in Progress: The MSU Student Comic Art Anthology,” selecting and publishing our own books.

Our service differs from traditional publishing services because of its small mechanical production footprint, its true on-demand nature, and most importantly its client-driven nature. Production of the physical volumes is completed in a small footprint: printing and binding both happen in a 24-ft² area. The machine prints a full-color cover and a black-and-white interior, binds the two together, and trims it all in less than 10 minutes. Clients, regardless of demographic, drive their own project from concept to completion. This workflow differs greatly from traditional publishing houses because the client manages all creative processes leading up to the production of the physical volume. To guide and assist people through this process, we offer specialized services and multiple levels of involvement.

What Do We Offer?

Because the Espresso Book Machine is designed for authors who often have little to no design or production knowledge, we’ve chosen to offer services that assist in both. The EBM requires two files: one PDF (Portable Document Format) for the cover and one PDF for the interior of the book. The software that manages our clients’ production files has a few technical requirements for these PDFs. We’ve settled on a comprehensive offering of services through research of other EBM locations’ services, discussions about what the MSU libraries should or should not offer, and trial-and-error with customers.

The first step in the process is to contact the Espresso Book Machine coordinator and set up an appointment. During this initial contact (done via e-mail or phone call), some basic details of the project are discussed. We get a sense of their project’s needs, where they are in the process (writing, editing, etc.), and what their desired timeline is. During the initial meeting, the client chooses between two setup packages: basic (a low-cost option for those clients that are completely ready to print: they’ve already designed the cover and the interior and it is formatted for print) or premium (a higher-cost option for those who require some coaching through the process and would like to see a proof copy before sending the project to the press). Clients who come with documents that are print-ready have already read and followed the Submission Guidelines, available at http://img.lib.msu.edu/about/ebm/SubmissionsGuidelines.pdf.
Those clients who have either outside designers or are fairly technically proficient themselves tend to choose the basic package. At a low cost, the package only covers the time needed for the EBM coordinator to look over the production files to ensure they’re printable and to send the project to the press. The cost is a flat fee, based on the EBM coordinator’s salary and the assumption that less than five minutes will be needed to assess the files.

We’ve found that most people choose the premium package option. This package allows for the EBM coordinator to work with the client and give basic guidance on how to format the interior of the book following the EBM specifications. Though we’ve made available a comprehensive guide to designing and formatting for the service, we’ve found many people are more comfortable and better served through hands-on guidance. This package allows for a 30-minute meeting where any number of formatting/design questions can be answered, basic formatting can be accomplished on the spot, and the door for future questions is opened. The package also covers the cost of a proof copy (a single print of the project that is reviewed and accepted by the author before sending the project to the press) and the time required to load the files into our print catalog.

This initial meeting is crucial in setting expectations for the client. Though they drive the process and manage the project, we still work with them to understand the expected production timeline. We’ve found it to be essential to set checkpoints with the client: finished interior files to us by week two, meet again in week 3, discuss cover options and settle on design by week 2, etc. Often, the client has a clear idea of how long they will need to finish a given step, but sometimes they need a slight suggestion or nudge to accomplish the task. We check in with the client periodically to make sure they’re moving along with the agreed timeline and offer any assistance we can.

We’ve found it to be essential to set checkpoints with the client...

The next step in the process is to discuss additional services required. Many authors find designing the cover to be a difficult task to accomplish. Some have limited design experience and most lack the proper software to execute the formatting. For this reason, we’ve hired a graphic design student to design covers. Billed at an hourly rate, we work with the client to understand the content of their book, their design preferences, and provide several meetings and drafts to achieve a professional and polished product. This has proven to be successful in both client satisfaction and in expediting production times (the design student is trained in designing specifically for the machine).

In addition to cover design we offer various options when it comes to print production. The production is entirely staff-managed: the EBM coordinator supervises student work to manage production and schedules jobs to go to print. The client can opt for a standard book, or for an additional fee we offer a variety of paper stocks (e.g., white is standard, cream is extra) and...
color interior printing (for photos or color texts on the book’s interior). These two options were added after many clients expressed interest in utilizing the options.

This point is also when we discuss book pricing. Pricing client books has proven to be a challenge due to the nature of our funding, the demand from our clients, and the cost of supplies and maintenance. After discussion and research on other institutions, we decided to price books on a per-page fee. How did we decide that fee? Xerox, the company that sold us the Espresso Book Machine, provided us with a Microsoft Excel calculator to price each book. We can calculate the cost of each book by taking into account the page length of the book, machine maintenance costs, the EBM coordinator’s salary, projected sales per year, and fees assessed by On Demand Books. Through varying the page length field in the calculator, we were able to set a retail cost for each page length possible on the machine.

We can calculate the cost of each book by taking into account the page length of the book, machine maintenance costs, the EBM coordinator’s salary, projected sales per year, and fees assessed by On Demand Books.

The tool provided by Xerox is excellent in calculating printing costs, but it does not aid in setting the costs for setup packages. We use a balance of market research, percentages of salaries of those involved, and (most importantly) conversations with our client base to decide what to offer and how much to price the package.

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<tr>
<th>Consumables</th>
<th>Labor</th>
<th>Fees</th>
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<tbody>
<tr>
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<td>EBM Coordinator Salary</td>
<td>ExpressNet fee per book</td>
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<td>Cover stock per sheet</td>
<td>Production time</td>
<td>Lease/amortization</td>
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<td>Cover ink per cover</td>
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<td>Monthly maintenance contract</td>
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<tr>
<td>Glue</td>
<td></td>
<td>Royalties/shipping fees</td>
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Elements of the Cost Calculator

Our clients have been very pleased with our price points. We’ve adjusted them a few times to account for the increase in the cost of supplies and to cover some of the maintenance costs, though return clients are always accepting of the increase and understand why we’re doing it. We’ve aligned the increases with the change of semester dates and have only increased costs gradually over time.
Who Uses the Service?

Though the service is housed in the MSU libraries, we’re not limited to academic/university-affiliated users. By making the services and products available community- (and world-) wide, we’ve seen an interesting and diverse set of clients. Patrons not necessarily affiliated with the university but with deep MSU/East Lansing roots are our highest-volume clients. They order more, have more projects, and require more time with formatting and development of content. Students and faculty also make up a large portion of our business. Printing dissertations, course packs, anthologies, and other academic-related works is the reason we started the service.

Conclusion

Client-driven models are rare in the publishing world. But for those who wish to retain complete control over their content and want a true print-on-demand solution, self-publishing is the most cost-effective and creatively open process and author can choose. We aim to assist as much or as little as the client wants and mold our services to each individual project, leading to a highly successful and well-received program. Our clients, both on and off campus, take advantage of a service that truly works for them.
Embracing on e-Books: Establishing an e-Publishing Pilot Project

Caitlin Bakker
University of Northern British Columbia

In October 2011, Wilfrid Laurier University launched its institutional repository, Scholars Commons @ Laurier, which aims to promote and preserve works of scholarly, cultural, and historical value associated with the university. WLU Press is home to the long-running Life Writing Series, which features memoirs, letters, and other biographical and autobiographical accounts. Four manuscripts intended for this series were not published when initially submitted in 1998 and had been stored in the archives since that time. In early 2012, Laurier Library began investigating the possibility of using the institutional repository to make these works available.

Upon review, it was found that three of the four manuscripts had since been published elsewhere. O! Call Back Yesterday by Ellen Joyce Trott,
however, had not. Fortuitously, the Trott manuscript was the only one for which there was a
signed publishing agreement on file. In April 2012, Mrs. Trott signed an additional agreement
for the electronic publishing and agreed to make the work accessible under a Creative Commons
Non-Commercial Attribution license. The author was given the opportunity to revise the work.
In October 2012, production on the e-version began.

The workflows established and the tools chosen are determined by the existing skills
and expertise available at a specific institution. At Laurier, we were fortunate to be able to
incorporate diverse skill sets from a broad range of individuals and departments. The archivists
are the resident experts in the digitization and preservation of materials and metadata creation.
The university press has the necessary publication experience, specifically in crafting author
agreements, providing substantive editing, and creating marketing strategies and features like
cover images. This breadth of knowledge is a luxury, but the cultivation of a well-rounded
team enhances productivity and improves output. If formal partnerships are not possible, an
informal advisory committee could serve the same purpose.

A small team entirely devoted to the task of formatting, conversion, editing, and validation
would be ideal. Depending on staff availability, the library may wish to call on student assistants
for some of the more routine tasks. While this process is not particularly laborious, it requires
concentration and attention to detail. It should not be considered as an additional task to be
completed at various times throughout the day, as this will most likely result in a less than
optimal product.

The Anatomy of an ePUB

While the focus of this paper will be on the practical tools, strategies, and workflows to
create ePubs, understanding the ePUB as a document format is a necessary starting point. ePUB
is an open e-book format developed by the International Digital Publishing Forum and is the
most widely supported vendor independent file format (Garrish & Gylling, 2013).

An ePUB is essentially a zip file that contains a number of other files in various formats,
including a special mimetype file, a navigation file, and a META-INF directory. The mimetype
file acts like a label, indicating to e-readers that the zipped file contains an ePUB, while the META-
INF directory holds an XML file that points to bibliographic and structural metadata. The OPS
directory holds the content documents—the table of contents (.ncx or .nav), the XHTML files,
and the CSS stylesheet, as well as any images that may be included.
For our purposes, we are going to focus on the XHTML content documents—the transformed versions of the content—and the means of automatically generating the other files in the most straightforward way possible. “Since an ePub file is essentially XHTML content in a special wrapper, all that is required is that we properly ‘wrap’ our XHTML content” (Maxwell et al., 2010). While unzipping an ePub can seem like opening Pandora’s box, fortunately for libraries, tools exist to create these wrappers.

**Conversion**

The workflows developed depend on the tools used. In all cases, it will be necessary to work with the files both before and after conversion. The distinction is in where the bulk of time is spent. Using a tool like Book Glutton focuses on correctly formed HTML at the outset while Calibre, the tool ultimately chosen by Laurier, requires tweaking the code after the fact. Although it is possible to automate a great deal of the ePub creation process, this should not be taken to mean that a significant investment of time is unnecessary. The conversion can be automated, but the process of editing and perfecting the item cannot.
Using a tool like Book Glutton focuses on correctly formed HTML at the outset while Calibre...requires tweaking the code after the fact.

**Book Glutton (http://www.bookglutton.com/api/convert.html)**

Book Glutton involves more upfront effort in crafting HTML materials. Two strategies were explored with this option: the use of Book Glutton’s downloadable template and saving items as HTML documents in Microsoft Word. The latter requires the effective and consistent use of styles and other advanced features. The process for creating effective HTML documents in Microsoft Word is somewhat complex and those wishing to pursue this option would be wise to consult a resource such as *EPUB Straight to the Point* by Elizabeth Castro.

The downloadable template is a straightforward option which may appeal to those with less experience in working with HTML. It contains detailed instructions on how to correctly paste and format content, and ensures that all necessary files are included in the conversion process. While Book Glutton is unable to offer batch conversions, it is an online tool, meaning that users do not need to be concerned with installation. This, combined with the template, arguably makes it the most user-friendly option.

**Calibre (http://calibre-ebook.com/download)**

Calibre offers a batch conversion function, which makes it an attractive tool with regards to scalability. However, as the majority of time will be spent in the revision and editing of the ePub, the ability to convert in batch does not overcome all issues of creating multiple ePubs.

There are a limited number of import and conversion options. Although it is possible to import Word documents, for example, the format is not supported for conversion. However, conversion does work fairly well with both text and HTML formats. Calibre has some difficulty determining headings and where files should be split. As such, it is not uncommon to see multiple chapters combined into a single file, or for the chapter title to be listed at the end of the previous chapter.

The Tweak Book function allows the user to “Explode Book” in order to have access to the XHTML, stylesheets, and other related files. While this can similarly be accomplished by saving the ePub to the desktop and unzipping it, Calibre allows the user to consolidate these actions. The files do need to be revised using an ePub editor, but this can be done from the Exploded Book window and changes can be saved directly. After making changes, the user selects “Rebuild Book” and the ePub is immediately altered. This is a more efficient strategy.
than saving, unzipping, and zipping, and it also eliminates the possibility of having multiple copies in various stages of editing and development.

**Editing and Revision**

Regardless of which tool and subsequent workflow are selected, it will be necessary to revise and edit the newly converted ePub. In order to do so, an editing tool must be chosen. A review of all available text editors far exceeds the scope of this paper, as they range from the most familiar and simple, such as Notepad, to more complicated proprietary software, such as the Oxygen XML Editor. Unlike the decision in conversion software, the choice of text editor has less impact on workflow and is more indicative of personal preference. It is also possible for different members of the team to work on the same project using different text editors.

In an ideal proofreading and revision scenario, the item would pass through one proofreader, be revised and approved by that individual, and move on to at least one other individual who would re-read the item, make note of any necessary revisions or corrections, and return it to the earlier stages of the process. While it may not be possible to devote two individuals to the proofreading process, it should be noted that the second of these two individuals would have a less significant time commitment than the first. At Laurier, it was necessary to combine these roles into a single position due to staffing constraints. This led to the process being repeated one additional time to ensure accuracy.

**Sigil (https://code.google.com/p/sigil/)**

Sigil is possibly the most widely known and used ePub editor. It offers an intuitive, user-friendly interface and requires very little technical knowledge. This is a highly adaptable tool that can be used by those individuals with little technical knowledge or experience. However, it also offers more advanced options for content creators more familiar with the ePub creation process.

Sigil features three columns: the book browser, the main text area, and the table of contents. There are two views available within the main text area: the Code View and the Book View, the former giving access to the HTML while the latter mimics the final ePub. This is a particularly useful feature as it allows an individual to seamlessly move between the code and a close approximation of the finished product and eliminates the need to download additional software or use multiple tools to create the same effect.

**Notepad ++ (http://notepad-plus-plus.org/)**

Unlike Windows’ built-in text editor, Notepad++ allows for multiple open tabs, zooming, and find and replace, among other features. Although Windows’ basic Notepad can be used to edit ePubs, as all text editors can be used to edit HTML and CSS files, Notepad ++ provides a more user-friendly interface specifically designed for source code editing. Those familiar with text editors such as Vim will find Notepad++ more aesthetically similar to these tools than its namesake.
Notepad++ is a remarkably robust tool, but the familiarity of the text editor lessens resistance to adoption. It should, however, be noted that in order to emulate the comprehensiveness of a tool like Sigil, Notepad++ should be used in conjunction with another software—for example, Calibre or Adobe Digital Editions (http://www.adobe.com/ca/products/digital-editions/download.html)—in order to review both the ePub and the code. Using multiple monitors to view both items simultaneously is a useful means of identifying issues and increasing efficiency in the revision process.

**Validation**

Despite careful proofreading and revision of the ePub, validation is still a very necessary component of the workflow. It is also the point at which the workflow may appear to become more iterative, as it will likely be necessary to return to the formatting, conversion, or editing stages depending on the number and nature of errors and the workflows selected. Unfortunately, unlike the conversion or editing tools, it is not possible to select a single validation option but instead is necessary to use a variety of tools. At minimum, EpubCheck (https://code.google.com/p/epubcheck/), FlightCrew (https://code.google.com/p/flightcrew/), and the Kindle Previewer from Amazon (http://www.amazon.com/gp/feature.html?docId=1000765261) should be used to ensure compatibility with most e-readers.

Using multiple validators allows for the most thorough examination of the ePub.

Using multiple validators allows for the most thorough examination of the ePub. The different validators will report different errors, and the different tools will offer different levels of specificity in error reporting. As a result, consolidation can prove challenging. The simplest way to keep track of results is through using spreadsheets or tables. This gives an opportunity to make note of the error, its location (this is very important as different devices will display errors in different locations and without the benefit of page numbers as guidance), and the format or device.
In the pilot project, it may also be advisable, when possible, to take more time to reexamine the original text or XHTML files and determine what decisions can be made earlier in the process to streamline the workflow and maximize efficiency at a later point. This is essentially the beginning stages of formatting in-house best practices. It is also an opportunity for the team to familiarize themselves with the validation tools and devices available, and in turn to make note of any idiosyncrasies or points of interest that they may find in using these tools.

**Workflows**

In the *O! Call Back Yesterday* project, Calibre and Notepad++ were selected as the tools of choice. As a result of this decision, more work was done following the conversion to ePub format rather than before the conversion.
As the manuscript existed only in paper format, it was necessary to scan the item to create the digital counterpart. The original photographs were also unavailable, so it was necessary to use the photocopied images in the manuscript. Fortunately, the archives were able to capture and enhance these photographs. While the scanning of the document can be done by the library...
or the archives, it may be preferable to have the latter do so if possible, as they would likely have access to superior machines and OCR software.

The print manuscript was essentially split into two components—the text and the images. Calibre was used to convert the text portion into ePub format. At this time, images were moved into a folder within the ePub, as seen in Figure 1, and HTML was used to insert the pictures and their captions into the document. After ensuring that the ePub was readable, it was proofread for conversion errors such as issues with headings, page breaks, accented characters, and so forth. Proofreading the document should also take aesthetic elements into account, as changes to the CSS are easily made at this time.

At Laurier, the press and library used a shared position which devoted 0.5 FTE to the project. While this met needs for the O! Call Back Yesterday project, it may be preferable to have the editing and revision done by two separate individuals. This would allow for a diversity of skills and could accommodate other priorities for staff. The item as a whole is edited at least twice. However, it is important to note that revision is an iterative process in that the item should be saved, recompiled, and opened multiple times. This ensures that the solution implemented for a specific problem is the correct one, and that, if a major error is made, it can be caught sooner rather than later. Recompiling the ePub a minimum of once a chapter is highly recommended.

Once the ePub has been approved by both editors, it moves on to validation. There was some debate as to whether validation should be incorporated into the revision process as part of the iteration. However, it was felt that adding that additional step in the earlier phases would complicate the revision process and would be a less efficient workflow, as the proofreading often corrected validation errors without that step. Validation and subsequent revision will likely be recursive. As was the case with revision in the editing phase, revision due to validation errors should also be done in stages. If one change leads to further validation errors, this becomes very difficult to isolate if all changes are made in a single cycle of revision.

After the item has passed through validation, it is wise to have both editors preview the item to ensure that the item is ready for distribution. Although further revision is unlikely to be necessary at this time, it is an excellent opportunity to view the finished product in its entirety.

While there are many distribution platforms from which to choose, Laurier opted to make the work available through its institutional repository. Libraries that do not have an institutional repository or find that their IR is not a suitable distribution platform should begin to investigate alternatives at the outset of the project. Although we did not have this added complexity in the O! Call Back Yesterday project, use of a variety of platforms will call for a review of requirements, particularly with regard to formatting and metadata.

Conclusion

The process of ePub creation is an iterative one of trial and error, more cyclical than linear at many points. Completed in December 2012, the O! Call Back Yesterday project gave Laurier an opportunity to expand services and further develop the skills and competencies of staff
from multiple departments. It also posed a unique set of challenges. Although not possible in this case, the most successful strategy is one that considers the ePub as an endpoint from the earliest stages of content creation, including the requirements, limitations, and nuances of the item and its production. While issues of scalability and the library’s role in the publishing process remain, this initial collaborative venture raised awareness of emerging technologies while strengthening relations and drawing on the unique expertise of the archives, the press, and the library.

References


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Library as Journal Publisher: Organizational Aspects of Journal Publishing

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The University of Michigan Library has been publishing journals on the Web since the late 1990s. To date, Michigan Publishing has partnered with 32 journals and serial conference proceedings (MPublishing Journals, 2012). We have been quite catholic in our approach to new projects: our journals’ disciplines vary from music to chemistry, philosophy to feminist studies. Journals are not required to have any connection with the University of Michigan (although we prioritize supporting faculty where possible), nor have they been required to adhere to any single model of distribution: most are open access, some delay publishing material online up to one year after publishing a print issue, and two use a traditional subscription-based model. Typically, journal editors manage submissions, review, and editing.
(including copyediting), delivering the final content to Michigan Publishing for publication on our platform.

Of our 32 partners, six have permanently ceased publication and three are on indefinite hiatus. As of May 2013, 10 had published new content in 2013, activity which ranges from producing new articles each week to delivering four volumes of backlogged content at once after a long silence. Thirteen had not yet published new content in 2013, which might indicate that they are right on schedule to publish their spring issue soon, that they have forgotten to send us the files for their most recent issue, or that they have ceased to publish altogether. The term “serial,” suggesting regularity, consistency, and predictability, does not quite capture the wide range of activity we observe among our journal partners each year.

As coordinator of Michigan Publishing’s journals program (a new position as of November 2012), it is my job to chart the future course of our journal publishing program. Michigan Publishing’s aim is to “create innovative, sustainable structures for the broad dissemination and enduring preservation of the scholarly conversation,” in service of a larger goal: “to ensure that the benefits of scholarship accrue to everyone” (MPublishing About Us, 2012). We want to make excellent scholarship available to as wide an audience as possible, and to preserve and distribute work that might otherwise remain unseen.

...when it comes to journals, excellence and ideals are not enough.

However, when it comes to journals, excellence and ideals are not enough. Sustainable journal publishing depends on long-term relationships: when we form a partnership, we agree to work with the editors for the life of the journal, and commit to helping them make that life as long and productive as possible. Trends, technologies, and practices will come and go over time. It is the human factor—the motivations, priorities, goals, expectations, and engagement of each editor—that determines whether a journal will thrive in partnership with us. I want to clarify that here I am not talking about the success of the journal according to traditional measures of impact, citations, or circulation. Rather, I am referring to the success of the relationship between the library and the publication: Is the partnership fruitful? Sustainable? Do both parties benefit?

The answers are not always so clear. Our partnership agreements outline what each party has agreed to do, but do not address why we are doing it, or whether our “whys” are the same, complementary, or at odds. Our journal partnerships are typically born when a person or small group approaches us for one reason or another, and we decide to take on the project, for one reason or another. Hitting on the right combination of reasons is the key to developing a partnership that will thrive. The wrong combination can lead to projects that drain resources on both sides, without meeting the expectations of either.
Motivating Factors for Journals

Michigan Publishing provides similar services to most of our journal partners, so it is easy to forget that they initially came to us with different needs and goals. Even where our services are the same, their reactions, expectations, and level of engagement will all be shaped by these initial driving factors, some of which I describe below. These examples, of course, are not exhaustive, but portray some common circumstances in our shop.

**Tech Support**

It is not uncommon for the editor of an existing print journal to seek a partnership with Michigan Publishing in order to establish an electronic version of their publication. Our ready-built infrastructure, support for conversion of content to XML, and commitment to long-term preservation are appealing to individual editors and small scholarly societies lacking the funds, technical expertise, or institutional home base to put their journal online. Because the print journal is already up and running, this can be a great way to get a publication off the ground quickly. However, the long-term success of the partnership depends on the extent to which the journal is willing to reconfigure its existing practices to support collaboration with Michigan Publishing.

For example, when journals continue to publish in print on their own, delivering the final files to Michigan Publishing is often the last step in their process, sometimes even after the issue has been published and distributed. If there is an embargo between print and online publication, the issue might not be expected to go online until months later. In these cases, editorial staff sometimes forget to send the files, or even to document this step so that new staff know to do this. We have on occasion contacted a journal to inquire about recent issues, only to discover that the editorial board had turned over, and the new staff did not know about our partnership.

On the other hand, if the editors of the journal are motivated to move to an online-first model, there is a good opportunity for mutual benefit. Because Michigan Publishing is the primary home for the publication, the editors cannot forget to stay in touch. When issues already exist, we can add the journal to our platform in short order. The editors’ labor and costs are reduced because they no longer need to support typesetting, printing, or subscriptions/circulation. Michigan Publishing benefits from adding a known publication to its portfolio. In this scenario, the motivations of the journal align with the practical requirements of the partnership, so working together comes naturally.

**Backup Plan**

In three cases, Michigan Publishing has partnered with journals that are already publishing on their own external websites. These editors are often drawn to the long-term preservation provided by the library. More than one editor has alluded to anxiety about what will happen to their journal when they retire: journals are frequently the pet projects of extremely dedicated individuals who worry about handing off the work or losing hosting/programming support at
their home institution if they leave. Michigan Publishing can provide a neutral, stable home for this content—one less thing for the editor to worry about as he or she plans for the future of the journal. These partnerships are most satisfactory when the editor is willing to make Michigan Publishing the primary home for the journal’s content. This way, we can avoid duplicating content, falling out of sync if an article changes, and confusing users (including third-party indexing sites) about where the canonical home for the content is. However, we often find that there are obstacles to doing this. In two cases, our partner was simply invested in the look, feel, and functionality of their own website, and unwilling to switch to our platform. In a third case, the partner wants to make Michigan Publishing its primary home, but fully integrating the journal’s idiosyncratic infrastructure for managing submissions and publishing manuscripts with our own system has turned out to be the work of years.

When content lives in two places, editors tend to think of their own website as “the journal,” and Michigan Publishing’s version as “the archive.” Whether or not we consider this a successful partnership depends a great deal on how we define success: we have ensured long-term preservation of and access to this content, and met the needs of the editor. As a library publisher, perhaps we have done well. On the other hand, editors sometimes forget to send new issues on to us, meaning we must chase them down or risk our version of the publication becoming outdated. As well, Michigan Publishing becomes rather invisible as a participant in the journal’s publication. For example, one of our journals is listed in the Directory of Open Access Journals (http://www.doaj.org/) only under its external host. Our archive is not mentioned. In this case, Michigan Publishing does not get much return on investment, in terms of visibility or reputation, for hosting and preserving this content. As a library publisher, it is difficult to make the case that this is a successful partnership.

Breaking New Ground

Some of our most energetic, symbiotic partnerships occur when editors develop a new journal with Michigan Publishing as the original publisher. In these cases, the journal’s workflows and practices can be established from the start to integrate with Michigan Publishing’s and the new journal benefits from its affiliation with our brand. Usually, we share an interest in open access and in exploring new models of editing and review. These editors are also typically quite involved: They tend to be the most fastidious about previewing content before it goes online, because Michigan Publishing is the site of first publication. They are also the most likely to request improvements to our interface and site functionality, because they envision their journal looking and behaving a certain way. These requests often lead to valuable developments that can be applied across the board, benefiting all of our journals.

Establishing new publications together with editors is exciting, meaningful work. However, it is a heavily front-loaded, labor-intensive process. It can take several years from initial discussions to the publication of the first issue, and without an ongoing publication schedule providing regular opportunities to communicate, it is easy to fall out of touch. Some journals fade away before they ever publish a first issue. Others fall off the radar for years, resurfacing
suddenly, ready to go, at a moment when we may not have the capacity to leap into action. It is disheartening to invest a great deal of time into a publication that struggles to get off the ground. While it is certainly important to expect change and remain flexible, it is also important to nurture this nascent partnership by keeping in regular contact with the editors so that changes of direction come to light sooner rather than later.

**Conclusion**

As Michigan Publishing becomes more strategic and proactive about acquiring new journals, I aim to build on the example of our most fruitful partnerships. We have developed several strategies for better understanding our partners’ motivations and needs early on in our planning process. Perhaps most importantly, we have developed a proposal form (Appendix) that asks editors to describe the working relationship they envision with Michigan Publishing (among other things). There is no single right answer to this question, but asking it establishes the expectation that our partnership will require mutual engagement and collaboration, and gives us a glimpse of the partners’ point of view.

As Michigan Publishing becomes more strategic and proactive about acquiring new journals, I aim to build on the example of our most fruitful partnerships. We have developed several strategies for better understanding our partners’ motivations and needs early on in our planning process. Perhaps most importantly, we have developed a proposal form (Appendix) that asks editors to describe the working relationship they envision with Michigan Publishing (among other things). There is no single right answer to this question, but asking it establishes the expectation that our partnership will require mutual engagement and collaboration, and gives us a glimpse of the partners’ point of view.

**Asking [editors to describe the working relationship] establishes the expectation that our partnership will require mutual engagement and collaboration...**

Here’s the rub: in order to evaluate the fit of a partners’ needs and priorities, we must first be able to clearly identify our own. This is the real challenge that lies before us and, I wager, any library publishing operation. It is easy enough to tell when a partnership is not going well—communication lags, issues fall out of date, the partner does not seem to understand us. But unless we can state clearly what we want out of a publishing partnership, we will not be able to tell whether we have achieved it, or predict whether a future project is likely to. Broad goals to do with affordable, open, responsive preservation and dissemination of the scholarly record keep our eyes on the prize, but for the day-to-day work of sustaining journals and their champions, we need to get more specific. There must be something we want. After all, library publishers are people too.
References


Appendix

Example of Michigan Publishing journal partnership proposal form:

Michigan Publishing works with scholars to design affordable and sustainable publishing solutions for material of interest to scholars in many fields, extends the University of Michigan Library’s commitment to the production and distribution of scholarship, and experiments with new possibilities for library-based publishing.

If you are interested in becoming a publishing partner, supplying details about your project will help us determine whether it is a good fit for the services we offer. It will also help us identify which tools and resources might suit your needs most effectively.

Please send A) two letters of reference and B) your completed application to mpublishing@umich.edu. Letters of reference should be written by individual(s) who can speak to the role your publication will play in its field, and administrator(s) able to provide information about levels of institutional commitment and support.

Institutional Information

Please supply your name, email, phone, departmental affiliation, website URL, and name (or working title) of your proposed project. Tell us about any supporting institutional framework, organizations, or societies affiliated with your project. What is the mission or charge of each group for which your publication will be an organ?

Project Goals & Audience

Please describe your project’s ultimate purpose. Be as specific as you can in providing context for this project, including the field in which it will be positioned, and the contribution it aims to make to that field. This will help us to assess how the project corresponds to Michigan Publishing’s mission, and understand the types of resources (editorial, design, programming, etc.) you will need to achieve your goals.

Please describe your projected (or existing) readership. Is your publication aimed at a general readership, a scholarly readership, or somewhere in between? Are there existing publications for your readership? Where else are your contributors publishing their work? What distinguishes your publication from existing journals in this field?

Content

Please tell us about the current status of your project (e.g. under development, content solicited but not yet written, content finished and in need of distribution channels, etc.). What is your anticipated timeline for the initial launch of your publication, as well as the timeline for future issues (if applicable)?

What kind of formats will your project include? Please describe analog and digital formats that will be included (word processing files, XML/HTML, PDFs, digital images, books or documents to be scanned, multimedia, etc.).
Regarding the appearance and functionality of your publication, please describe what you hope your project will look like and how your readers will engage with it—online and/or in print (if applicable). If there are existing online or print publications that you have looked to for inspiration, please list them, along with specifics about why they appeal to you.

If your project will include both print and online components, please be sure to describe the particulars of each as applicable (frequency of publication, trim size, design requirements, etc.) as well as the role each format plays in meeting your project’s overall goals as described above.

Editorial & Peer Review

Please describe your editorial workflow and the composition of your editorial board (names, titles, affiliations, etc.). If published content will undergo peer review, please describe the criteria for selecting reviewers as well as the guidelines for reviewing submissions.

Financing & Support

Do you plan to make your publication available for free (as an Open Access resource) or for a fee? Please provide a few sentences explaining the rationale behind your choice. Please describe any revenue streams, financial resources, or institutional support that will be used to subsidize your publication, including available labor and expertise at your disposal.

Joshua Neds-Fox, Lauren Crocker, & Alicia Vonderharr
Wayne State University

The Wayne State University Press Journals program comprises 11 scholarly print serials. When the press sought to deliver its journals electronically, in-house, for the first time, it established a mutually beneficial collaboration with the Wayne State University Libraries to host, format, manage, and preserve its content online. A strong university press/library partnership is possible because the goals of the two institutions are complementary: both exist to support the research, teaching, and service mission of the university. By collaborating, the press extends the reach of its scholarly journal publications by making them available, in-house, digitally. The libraries expand their intra-institutional services and collections available from The Library Publishing Toolkit, ed. Allison P. Brown, IDS Project Press, 2013. Available at http://opensuny.org/omp/index.php/IDSProject
to their constituents, and advance their scholarly communications agenda. Both increase the value of investments in infrastructure. This case study explores the relationship between the two units, describing what one successful press/library partnership looks like.

History of the Partnership

Wayne State University Press publishes only one journal in the natural sciences, Human Biology. It is especially important for journals in this field to maintain a strong online presence. The libraries had subscribed to bepress’s Digital Commons (a hosted institutional repository software with a range of modules, including a full journal publishing platform) in 2005, but as of 2010 it remained underutilized, and the libraries were interested in expanding its use. In support of that goal, a position was created in the libraries specifically tasked with developing the institutional repository. Coincidentally, the press was searching for a tool to support the online publication of Human Biology while the libraries were hiring the institutional repository specialist. Upon learning of the mutual goal, the two started the discussion about bringing Human Biology into DigitalCommons@WayneState (http://digitalcommons.wayne.edu, our implementation of the Digital Commons software, also DC@WSU). This ultimately involved the press re-creating the journal’s online home as a site inside DigitalCommons@WayneState, and preparing the necessary policies and pages. The press sent the journal’s current content, both digital and print, to the libraries, who processed and loaded it into the newly created site.

Although the press and libraries’ budgets are separate, the existence of a complete editorial and hosting resource for journals inside the Wayne State ecosystem, with costs justified for the libraries by its alternate function as an institutional repository, presented such an opportunity for synergy between the units that it seemed irresponsible not to pursue it. With the success of Human Biology’s implementation, the press quickly sought to offer all of its journals on the Digital Commons platform, and the two entered into partnership with a memorandum of understanding regarding shared services.

Organization of Workflow

The press oversees the production of their journals, including copyediting, typesetting, design, printing, and distribution. Because the dissemination of digital files occurs at the end of the production process, the initial press workflow is unchanged by the partnership. Upon receipt of the final files from the compositor, the press distributes final PDF files to all online partners, including the libraries (files are transferred via SFTP over an internal network).
The libraries mount new issues upon receipt of files from the press, and have been responsible for the digitization of print back issues and the ingest of back files to DigitalCommons@WayneState. These tasks generally involve document analysis and metadata creation for each issue, and may also include OCR for back issues or files delivered as image-based PDFs. The libraries also handle the bulk of training for journal editors and other parties administering EditKit (the journal submission and publishing backend to the Digital Commons Journal module).

The press and libraries share responsibility for configuration and administration of the backend of DC@WSU. This is done informally, with each unit delegating duties between themselves as issues arise. For example, it is equally likely that press or libraries staff will respond to editors when they encounter a problem with the configuration of their particular journal or editorial process, and often both units will handle aspects of an individual case. Communication is generally handled via e-mail, although the staff usually meet together two to three times a month, with other face-to-face meetings taking place as needed for specific tasks.

One of the elements helping make the partnership work is a shared journals intern, jointly interviewed and hired by the WSU Press Journals department and the libraries’ Digital Publishing team, and splitting time between the two. The internship is unpaid, but the split workload gives the position a broad exposure to both traditional publisher workflows and digital library workflows. This window into the separate cultures and concerns of both units is of benefit to the internship. The intern participates in metadata creation and batch ingest...
of material to the journals’ websites. On the press side, the intern assists in the production of journal issues and producing marketing materials for Wayne State University Press journals.

Making the subscription journal available digitally on a traditionally open-access platform requires a per-article payment layer. Wayne State University Press uses Authorize.Net, a payment gateway service provider, to accept credit card payments ($5/$10 per article) through DC@WSU. Users receive immediate access upon payment without having to visit a third-party site to complete transactions. This per-article payment layer has been valuable to the press in providing instant access to scholars and students who do not have digital access via their institutions or personal subscriptions. Human Biology, situated in a field that values online open access, takes advantage of Digital Commons’s core module to offer a pre-print series in advance of publication. These are cross-linked both from the landing page of the journal and at the article level once the definitive issue is posted.

Skills and Lessons Learned

The partnership has been surprisingly instructive. One of the chief benefits has been the sharing of skill sets exclusive to either the publishing or library worlds. These have ranged broadly beyond the mere administration of the DC@WSU system. As outlined in the workflows above, the libraries have taken the lead in teaching press staff and scholarly journal editors how to use DC@WSU to meet their various needs. The press in turn has shared their understanding of the intricacies of their 11 scholarly journals, including the differences among editorial staffs and cultures, format, content, and the myriad “exceptions to the rule” that comprise each individual journal.

The press has expanded its understanding of metadata and XML schemas. When the press decided to start supplying their own XML citation data for a science journal in the PubMed database, the libraries assisted with technical help conforming to PubMed’s schema (PubMed Journal Article DTD Version 2.6, http://www.ncbi.nlm.nih.gov/books/NBK3828/). This included XML basics, like how to determine required vs. optional elements and attributes and how to correctly nest tags—skills the libraries find to be second nature by now but which the press is just acquiring. The press has also greatly improved the customer service offered to journal subscribers, benefitting from the libraries’ experience providing off-campus access to vendor materials. Digital Commons can provide access via IP or domain recognition, or through individual user accounts. Armed with the knowledge of how the Wayne State University Libraries provide off-campus authentication to their students and faculty (through a proxy service), the press has been able to suggest alternatives to customers who wish to provide this for their students.

The libraries have been afforded a crash-course in PDFs and publication standards. Making backlist issues available online has required digitizing print volumes, subjecting the output to optical character recognition (OCR), and generating readable PDFs. Digitization required that the libraries acquire and implement a high-end book scanner (ATIZ BookDrive Pro),
and OCR required an investment in enterprise-grade software (ABBYY Enterprise Edition). Even so, the PDFs that libraries are accustomed to interacting with in the archive/preservation world do not always follow the same specifications that are required in the print publishing world. Where libraries are often comfortable with machine OCR and Dublin Core metadata, publishers require “Web-ready” PDFs, meaning internally cross-linked, >99% accurate OCR, and optimized for smaller file sizes (when submitting material to aggregators like Project Muse, WSU Press conforms to the NISO JATS standard).

Where libraries are often comfortable with machine OCR and Dublin Core metadata, publishers require “Web-ready” PDFs, meaning internally cross-linked, >99% accurate OCR, and optimized for smaller file sizes.

Along the same lines, the press has learned much about the working world of librarianship. The libraries have set up meet-and-greet sessions with the press and libraries staff in order to teach the press more about library acquisitions and the continuing needs of academic libraries during the shift from print to digital. The libraries were very forthcoming with their personal recommendations about specific online partners and the benefits they bring, and the press learned how link resolvers work to connect individual journals to their corresponding location with an external aggregator. This insight has allowed the press to make educated decisions regarding the aggregators through which to disseminate their journals, deciding to actively pursue a partnership with JSTOR and to keep new journals restricted to Project Muse and JSTOR. This has positively benefited the press’s library subscribers and users, including the WSU libraries.

The libraries gained valuable insight into the nature of a scholarly journal, through collaboration with the press and its processes, but often simply through the logistical contortions necessary to bring individual issues online. What constitutes a journal? Is it a collection of articles, perhaps divided into various types (feature, book review, editorial)? Is it whole, to be offered as a single document, like a monograph (and analogous to its print counterpart)? What about journals with thematic (as opposed to structural) divisions, which aren’t as easily captured in the Digital Commons platform? Figure 2 shows example elements from three different WSU Press journals. Merrill-Palmer Quarterly is a traditional journal in the social sciences, and its articles can be represented as discrete elements. Individual issues of Framework, a humanities journal, are often curated, and internal structures with no analogue in Digital Commons, like “dossiers,” can complicate the presentation of individual articles; often in this case, many articles are concatenated into one document. Fairy Tale Review is a literary review, and the varied length and format of its contents makes offering individual works problematic; each issue is presented as a whole.
Knowing when to atomize the content in a journal and when to treat a journal issue like a monograph has paid dividends for the libraries, e.g., when considering how to model content for journals and journal-like digital objects being preserved in other library systems outside DC@WSU. The libraries have already developed content models for journal-like objects (in this case, digitized issues of a weekly newspaper) based on experience with the press: an article or section is part of an issue (an article is optionally part of a section), an issue is part of a volume, and a volume is part of a periodical. This model allows the libraries to ingest journals and journal elements into a digital object repository (Fedora Commons) for future front-end development. In fact, the difficulty in modeling journal issues to fit the Digital Commons repository software informed the libraries’ decision to begin developing a Fedora Commons repository, where digital objects might be more variously and robustly modeled.

The libraries have also been able to assess what a sustainable journal production process might look like for open access journals published in-house. The press has been invaluable in sharing its experience and perspective on managing editorial staff, and the libraries have developed a familiarity with copyediting and scholarly editorial processes by working with the pre-print and pre-press versions of the documents, and by the many snap decisions that must be made regarding arrangement and formatting of articles online. The libraries’ sense of the workload provides a baseline for planning and policy regarding future journal projects outside the press partnership.

**Positive Press/Library Relationship**

The positive relationship that has developed between the libraries and the press has proved essential in running a successful operation. It makes possible the loose, almost informal
division of labor, and there’s a sense of a free exchange of information. The libraries gain a good understanding of current trends in publishing, while the press keeps up-to-date on developments involving open access journals and fair use, among other topics. Together, the press and libraries are able to have meaningful discussions on important topics, often uncovering coinciding interests and ideals.

This collaboration has afforded a number of other expected and unexpected benefits. The partners enjoy a unique advancement of parallel goals: the press expands its publishing capacity without incurring extra costs, and offers native electronic formats, per-article access, and an electronic backlist; the libraries expand their digital publishing activities, collaborate intra-institutionally, and establish digital workflows (e.g., OCR) that support a range of library activities. Because the partnership is unforced, the partners avoid the dysfunction that can arise when units are combined by administrative fiat, and are free to expand their activities in any mutually agreeable direction.

As an example, the press and libraries, upon the demonstration of the successful journals collaboration, have expanded the scope of their partnership. The units are exploring the digitization of print backlist monographs, which would provide the press with accurate OCR and metadata to send to conversion vendors and the libraries with e-book titles to offer the Wayne State community. More informally and perhaps more valuable in the long term, the relationship has opened up avenues of communication that weren’t previously available: conversations between the two about a variety of issues (how do interpretations of recent judicial copyright decisions differ between the libraries and press, for instance) have resulted in a broader range of understanding for both parties, and uncovered areas (e.g., perspectives on fair use) where the two share unexpected common ground.

Conclusion

As academic libraries continue to cross over into the publishing world, and university budgets adjust to future economic realities, partnerships like that between the Wayne State University press and libraries will look more and more attractive to both academic presses and libraries. As outlined here, such partnerships strengthen the university as a whole and the units specifically, provide for expanded service by both partners, and pay dividends in skill-sharing and new perspectives. Wayne State University Press and Libraries look forward to continued fruitful collaboration as both gain a better picture of exactly what a university press and an academic library can aspire to be.
Supporting the teaching, learning, and research (TLR) continuum is an organizing principle for engagement between Providence College’s Phillips Memorial Library (PML) and its community—a lens through which all PML departments realize their mission. The Digital Publishing Services (DPS) Department (initially called “Digital Services Department”) at the PML was established in 2007 to investigate new collaborations and publishing models for supporting local faculty and student scholarship and creative works. The mission of DPS is demonstrated through its collaboration with the faculty editor of the journal *Inti: La revista de literatura hispánica*.
Digital Publishing Services: A History

Phase I: Tactical

The PML at Providence College (PC) is part of a consortium of higher education and special libraries (i.e., Higher Education Library and Information Network/HELIN Consortium). Early in 2005, the HELIN Central Office, supported by the HELIN Board of Directors, submitted a grant application to the Davis Educational Foundation to support implementation of a consortium-wide institutional repository (IR). With grant funds, a distinct repository would be created for each participating HELIN institutional library. Each library’s IR would implement unique institutional domain names and branding. Additionally, an “umbrella site” with a HELIN brand would be created encompassing all content included in each IR for cross-searching, and metadata with links to IR content pages would be harvested from each repository and ingested into the consortium-wide single catalog.

In August 2005, a new library director arrived at PC’s PML, and at the end of 2005, HELIN was awarded the aforementioned grant. The library director recognized the potential value of IRs and had previous experience with them, but his previous experience had been with an open source solution that required extensive local support resources. The HELIN grant application had cited bepress (Digital Commons) as its technical infrastructure partner (including ongoing support for IR development), and the library director was enthusiastic to explore this software as a service solution (SaaS).

In early 2006, the library director, recognizing the need for dedicated support to IR development and supporting services, reengineered an existing, open faculty-librarian position accommodating Digital Commons-PC2 needs. The open cataloging position was restructured as the Cataloging and Digital Projects Librarian (CDPL). Fifty percent of this position’s energies would provide oversight of cataloging services, and fifty percent would manage IR development, working closely with Special and Archival Collections to identify and digitize materials for publication through Digital Commons. The debut (project presentations and discussion) to formally announce Digital Commons to the PC community was scheduled for February 14, 2007.

At the time of the opening, there were still no formal facilities (workspace/lab) or dedicated staff to support the new work beyond fifty percent of the CDPL’s time. The library director, along with the CDPL, developed plans for pertinent equipment, facilities (space), and additional staff. Furniture and technology requests were submitted through existing college funding channels to outfit a vacant space within the library (i.e., desks, chairs, Macintosh computers, scanners, optical character recognition [OCR] software, and Adobe’s Creative Suite). Two non-exempt, open positions (one full-time, one half-time), from Archives and Interlibrary Loan (ILL) respectively, were restructured and moved to a newly created Digital Services Department, both reporting to the CDPL. With the new department in place, the library director and CDPL increased their engagement with the campus community, identifying college- or faculty-
owned (copyright-secured) collections that would gain benefit and bring benefit to the research audience through digitization and publication.

**Phase II: Agile-Strategic**

The Digital Services Department continued to evolve, growing in directions informed by advances in technology, changes in scholarly communication, and institutional needs. Early in 2009, the CDPL left for another position. The library director once again reviewed the position relative to library strategic thinking/planning and decided to shift the position’s focus to more strongly develop a library digital services program (e.g., the position’s title descriptors were flipped, becoming Digital Services and Cataloging). The position was filled in January 2010, and shortly thereafter an additional full-time staff position was added to the Digital Services Department from an obsolesced library function. The Digital Services and Cataloging Librarian position was again refocused and renamed in 2011 as the Head of Digital Publishing Services. This new title reflected the library’s commitment to establish a set of publishing services and to accommodate further expansion of services and staff within the department (the department title also changed to Digital Publishing Services).

Since 2011, the department has increased its staff (6.5 FTE), redefined and promoted existing staff, and increased collaboration across the college with students and faculty, significantly increasing digital publication output and development of open educational resources. In 2011, Digital Publishing Services Coordinator and Digital Media Specialist positions were created in response to increased requests for services and the need for increased outreach to the community. The department no longer simply provides support services, but rather increasingly behaves as an equal collaborative partner in the creation, management, preservation, and delivery of TLR resources.

**Digital Publishing Services staff assist and collaborate in...**publication options, copyright advisement, scanning/digitization, media creation, graphic design, text processing and encoding, metadata consultation, and publishing platform R&D.

As of this writing, Digital Publishing Services³ (DPS) staff assist and collaborate in a wide variety of knowledge creation activities, providing expertise in areas such as publication options (Web and print), copyright advisement, scanning/digitization, media creation, graphic design, text processing (OCR) and encoding (TEI), metadata consultation, and publishing platform R&D. The DPS Lab⁴ is equipped with high-end 27-inch iMacs and PCs, which include a suite of
media creation software, and a selection of scanners, digital cameras, and audio recorders for capturing analog as digital surrogates.

**Engaging Inti**

In 2007, *Inti*’s faculty editor supported Digital Publishing Services’ proposal to digitize and OCR (optical character recognition) early issues, providing greater journal visibility through Digital Commons, *INTI Archivo*. This early project phase focused on digitizing issues using a method of reformatting optically recognized text. Initial workflows evolved over time through trial and error, primarily involving scanning bound print issues on a flatbed scanner (using SilverFast Ai scanning software) and performing OCR using ABBYY FineReader. DPS staff then manipulated optically recognized text in a text editor to imitate the corresponding print issue’s layout, exporting it as a PDF. In 2011 (again using ABBYY), DPS transitioned from reformatting optically recognized text to recognized text-under-image digital surrogates. This method provided both full text searchability and views of page image originals. Text-under-image digital surrogates restored a more authentic journal-viewing user experience and created a quicker and more efficient method for processing issues.

Text-under-image digital surrogates restored a more authentic journal-viewing user experience and created a quicker and more efficient method for processing issues.

In 2011, Digital Publishing Services assumed responsibility for preparing future issues of *Inti* as digital print-on-demand. *Inti*’s faculty editor had a pre-existing external partnership for some of the publication workflow, so at the outset, inherited workflows and technologies had to be identified, evaluated, and either retained or updated (the workflow chart is available as Appendix A). DPS made an immediate decision to move from Adobe PageMaker to Adobe InDesign as the principal desktop publishing tool. Facilitation and coordination of the digital print-on-demand process was assigned to the Digital Publishing Services Specialist (DPSS). Because DPS had limited experience with InDesign, staff went through in-house and Web-based (Lynda.com) training. Following training, the first publication period was marked by due experimentation.

Mimicking the layout provided by print issues and the obsolete PageMaker files, the DPSS created a flexible, but consistent InDesign master page template (the template is available as Appendix B). After preparing the template, text and born-digital or digitized images were ingested. This step, rooted in trial-and-error, allowed for further workflow refinement—principal concerns being consistency of the text and the formatting, font rendering, and time spent. Current iterations of the ingestion process rely on e-mail submission of Microsoft Word (.doc, .docx) or text-recognized Adobe Acrobat (.PDF) files, which are then formatted in Word from The Library Publishing Toolkit, ed. Allison P. Brown, IDS Project Press, 2013. Available at http://opensuny.org/omp/index.php/IDSProject
to closely match *Inti* specifications. “Pre-staging” the text in this manner allows for effective use of the Place function within InDesign, which creates a new object based on an external file and retains its formatting. All that remains after ingestion is a consistency check and the application of unique page headings. Some exceptions, such as linked graphics, extend the length of time spent. In total, ingestion and formatting times typically range between two to three months, depending on staff obligations, faculty editor modifications, and the relative size of the particular *Inti* issue.

*Inti* issues contain many contributions, so tracking is a crucial part of the entire workflow and is managed from start to finish through a Microsoft Excel worksheet, structured to reflect necessary steps and issue progression. Any change in article order is immediately updated and reflected in the tracking document to create an accurate index for reference. Thus, tracking management takes on the same level of importance as any other step in the publication process (the tracking template is available as Appendix C).

Once a “final” draft is completed, a third-party proofreader, typically a colleague of the faculty editor, reviews the draft. DPS involvement at this stage consists primarily of providing the proofreader with the draft and the original submissions, and serving as an intermediary between the proofreader and the faculty editor. At first, this transmission of documents was done through paper copies due to a proofreader’s technical comfort. Currently, all documents required for proofreading are uploaded to a shared Dropbox.com folder. Any edits resulting from proofreading are tracked and implemented subsequent to faculty editor review. At this stage, the faculty editor makes any final reflections and the publication moves to pre-flight status.

The DPSS then coordinates the pre-flight process on two levels: the first within InDesign, conducted during the ingestion period; and the second based on outsourced digital print-on-demand contractor (McNaughton & Gunn⁶) specifications. The immediate point of concern is establishing a quote for the material. This quote is requested by the DPSS after calculating the total materials required as reflected in the total number of pages and mix of paper stock (if images are included). *Inti*’s faculty editor is provided with the quote and either amends the request or approves it. Once approved, the text is exported as a PDF alongside an InDesign-generated package containing any linked images, fonts, document metadata, and, lastly, the Adobe Illustrator-designed cover. This package is then uploaded to the printer’s production server via FTP. A pre-print copy, requested and reviewed by the faculty editor, ensures that the final printed copy is as desired. If no further changes are needed, the lot is printed and delivered to the faculty editor, and Digital Publishing Services’ role in the digital print-on-demand process is complete.

Since beginning digital print-on-demand publication support for *Inti* issue 71–72, DPS has assisted in publishing a second issue with a third in process—completion and distribution dates are set for the middle of 2013. The current publication model (leveraging technology, local expertise, and faculty editor/DPS proximity) has resulted in a fruitful collaboration between the
faculty editor and DPS. DPS support has streamlined the publication workflow and freed up the faculty editor’s time to pursue new content opportunities and collaborations.

**Inti PLUS**

Late in 2011, DPS and *Inti’s* faculty editor entered discussions for creating a website (*Inti Web*) for promoting forthcoming print issues of *Inti*. Since its launch, *Inti Web* has evolved into an ever-fuller complement to the printed issue, expanding on it and incorporating digital media formats not possible in print. Planning is underway to introduce a **Spotlights** section for providing information on current and past *Inti* contributors, many of whom have won prestigious awards and Medals of Honor in Literature and Arts; and to introduce a section called **Voces Transfronterizas (Transborder Voices)**, which will include forms of “writing” and expression only possible through digital media. Undergraduate students within the college’s Foreign Languages Department will be selected by the faculty editor to work with DPS staff on developing these sections. The students will engage in guided research, providing scholarly contributions to this scholarly enterprise.

**Supporting Ongoing Change**

Digital Publishing Services’ collaboration with *Inti’s* faculty editor continues to evolve as *Inti* evolves within the current disruptive scholarly communication landscape. The department is providing support for both *Inti’s* traditional and new communication channels through distributed roles and responsibilities—a suite of services through concurrent overlapping workflows, which require ongoing coordination and adjustment (the Suite of Services Workflow/DPS organization chart is available as Appendix D). DPS continues to remain true to its original mission to investigate new collaborations and publishing models for its community by staying attuned to evolving national and international practices and local needs (i.e., looking for global patterns, while respecting local idiosyncrasies) and incorporating continuous departmental self-assessment and training.
Appendix A

Digital Publishing Services’ Inti Digital Print on Demand Workflow

Appendix B

Sample of Inti Template, Created in InDesign
Appendix C

Tracking Template in Microsoft Excel

Appendix D

Inti Suite of Services Workflow: Digital Publishing Services’ (DPS) Roles and Responsibilities

Endnotes

1 *Inti* is a paper subscription-based, peer-reviewed journal first published in 1974, dedicated to publishing the results of academic research in all areas of Latin American and Spanish Peninsular letters.

2 http://digitalcommons.providence.edu

3 http://www.providence.edu/library/dps/

4 http://www.providence.edu/library/dps/Pages/Resources.aspx

5 http://digitalcommons.providence.edu/inti/

6 http://www.bookprinters.com/

7 http://library.providence.edu/dps/publications/inti/
Content and Collaboration I: A Case Study of Bringing an Institutional Repository and a University Press Together

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University Press of Colorado, Utah State University

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Profile of a Merger: In 2009, the dean of libraries and the director of the university press at Utah State University proposed a departmental merger to their central administration. They argued that through restructuring reporting lines so that the press became a department of the library at least three important benefits could be achieved. First, the central administration was at the time hoping to cut costs by consolidating operations in various parts of the university; merging the staff reporting lines of the university press into the library offered an opportunity for consolidation. Secondly, integrating the press into the library promised it some relief from the structural vulnerability it had suffered historically as a department
among “other instructional activities” reporting directly to the provost. And for the university library, to move the press into a structural collaboration would bring an established publisher of e-books into the library, representing a steady source of book-length content for the digital institutional repository that the library was consciously building. In short order, and spurred by the impacts of the Great Recession on higher education, the merger was approved.

**Goals, Resources, and Complications**

The Utah State University library was an early adopter of the Digital Commons software published by bepress (originally Berkeley Electronic Press), and by 2008 it had committed long-term resources to developing an institutional repository. As part of its IR acquisitions strategy, the library invited the university press to submit copies of its published monographs to the IR for scanning and deposit. USU Press had been publishing electronic editions of its books routinely since the late 1990s, and had recently completed a project of scanning its earlier books. These electronic editions were targeted for the library market (very few personal e-readers were available in the 1990s), and were distributed through vendors such as ebrary, ebooks.com/EBL, netLibrary, and Questia. The format of those texts, of course, was often modified for delivery through the vendors’ proprietary platforms—always in flux. But the underlying files from the late 1990s forward were sturdy PDFs. (These had been “distilled,” in the early days, from postscript files, and later, as Adobe software developed, had been exported from typography directly to PDF as a routine part of the preprint production process.) Originally based on a handshake and good intentions, depositing these backlist e-books could become systematic with the reconfiguration of the university press as a division of the library.

The collaboration, however, faced a conundrum that pitted free and open circulation (one of the highest values of library culture) against the pragmatic reality of how university presses are funded—mostly through sales of what they publish. In the course of moving the press into the library, the university administration rescinded 40 percent of the press’s budget, yet did not adjust the library budget to balance that reduction. Sales revenue had been balancing the costs of book production and contributing to salaries for many years, but the central administration had funded a separate budget line since 1972 to support the primary salaries at the press. This is the typical arrangement for university press funding, and this is the budget that was reduced by USU administrators to help address cuts in state funding. Thus, simple arithmetic required that revenue from book sales be protected (or even increased) for support of the press and the new collaboration.

While the budget is always a concern at USU Libraries, generating self-support is normally not a concern. Moreover, the institutional repository is not conceived as a profit center. So a conundrum faced the USU libraries and press: the goal of enhancing the open-access IR with texts published by the press depended on protecting the sales revenue that financed creation of those texts. Accordingly, the library and press established a process of acquisition that would incrementally increase USU Press publications in the IR by focusing immediately on backlist titles (the older books) and gradually adding newer books.
In a normal year, a publisher’s frontlist—books in their first 12 months of life—substantially over-represent themselves in a publisher’s revenue and thus are critical to support of new books to be published in the following year. The backlist is also critical, but because it is a much larger group of books and each book contributes less and less individually to revenue over time, to move the backlist gradually into an open-access collection is a process with lower financial risk to the press. Accordingly, the USU library and press established an embargo period after the publication of a new book, during which time it would contribute its predictable best months of sales to support the press. After that period, the book would be deposited in the IR collection. Through this process, the collection of USU Press e-books began gradually growing within the IR.

The goal is to honor the traditional academic values of rigorous peer review and intellectual excellence, while particularly sponsoring work with a commitment to digital scholarship and expression.

An additional acquisition for the IR was a series of born-digital publications published by USU Press under the imprint Computers and Composition Digital Press (CCDP). This series was established through collaborative efforts at a number of institutions, including University of Illinois, Ohio State, Miami University, and Illinois Institute of Technology. Committed to publishing innovative, multimodal digital projects, CCDP specializes in digital projects that cannot be printed on paper (they may include video, audio, database, and other elements not well suited for publication in print formats), but that have the same “intellectual heft” as a book. The goal is to honor the traditional academic values of rigorous peer review and intellectual excellence, while particularly sponsoring work with a commitment to digital scholarship and expression. In the context of traditional resistance among humanities faculty to granting tenure credit for digital publication (as was the case when the series was established), CCDP represents an important kind of scholarly activism—an effort to circulate the best work of digital media scholars in the field of English composition studies in a timely fashion and on the global scale made possible by digital distribution. These goals dovetail perfectly with the mission and ethos of the USU repository.

As the USU libraries integrated the USU press, library IT resources were found to establish a secure server to host the CCDP series. As an open access digital-only series, there was no revenue potential in these publications; thus, after initial expenses of IT development, of establishing referee, editorial, and production standards, and modest ongoing overhead expenses of monitoring the referee process, all work on CCDP volumes was handled by authors and volunteers from faculty at collaborating institutions. Accordingly, each CCDP volume is carefully reviewed by peer specialists in the field, with particular emphasis on the volume’s
unique, original, and significant contribution to scholarship in literacy or digital literacy studies. This much is typical of university press publishing, and is especially important to authors whose career advancement depends on publication through a certified referee process. In addition, and of special interest to this series, is how well and to what extent a proposed volume exploits the potential of digital media to convey its content. Work that could easily be presented in print formats is discouraged, and priority is given to work that studies and depends in significant ways on video, audio, database, Web-based, or other digital content. The series editors negotiate a revision (or rejection) with the author, based on the referees’ and the editors’ own specific recommendations. With endorsements from the peer review process and from the editors, USU Press staff present the work to the USU Press faculty editorial board for approval, and then to the University Press of Colorado board of trustees for formal authorization of a contract for publication. The series, innovative in its own field, among repositories, and at university presses, now includes seven volumes—two of them award winners.

**Early Metrics and Various Impacts**

Response to the availability of USU Press books in the IR has affirmed both the value of the collaboration and the financial prudence of the strategy adopted. Usage reports generated by Digital Commons software show that full-text downloads from the accumulating content provided by USU Press since approximately the middle of 2010 now exceed 100,000. For a small library/press collaboration and experiment with an open access collection, we consider this a positive indicator of circulation and impact. At the same time, we feel it is important to monitor the reciprocity between this open access collection and the stream of retail publications that maintain it. There is obviously the potential for free downloads to overwhelm book sales and hence to collapse the financial support that is critical to the long-term existence of this part of the IR collection itself.
In late 2012, the authors of this article charted the individual download performance of several representative USU books in the IR collection and compared it to hard copy unit sales for the previous two years of those same books. What we conclude from this study is two-fold.

...we find no evidence that the open access presence of these books in the IR contributed to a decline in sales of the books measured.

First of all, we find no evidence that the open access presence of these books in the IR contributed to a decline in sales of the books measured. We attribute this lack of negative impact to our choice to embargo the books during their frontlist period. As implied above, the majority of sales for the typical scholarly monograph occur within its first year in the market; sales often drop dramatically through the second and third year, and then they plateau at a low level for the rest of the life of the book—this is the “long tail” that statisticians and marketing researchers discuss (e.g., Anderson, 2006). Our choice to begin the open access tenure of a book at the beginning of the book’s long tail was a strategy that we hypothesized would protect most of the book’s predictable revenue stream, yet still leave an impactful life for its later open-access circulation. Our study of these representative books seems to support our hypothesis.

The second major conclusion we draw from the study is that we see no evidence to support the prediction by some (and what seems a popular folk belief among librarians), that open access visibility will create increased demand and sales for the original book. (See especially Suber’s early thoughts on this—e.g., http://bit.ly/oa-overview.) In our study, although downloads through the IR were significant, ongoing, and international, no measurable increase occurred in book sales during the open access period we measured.

Our choice to begin the open access tenure of a book at the beginning of the book’s long tail was a strategy that we hypothesized would protect most of the book’s predictable revenue stream, yet still leave an impactful life for its later open-access circulation.

As for the digital series, the CCDP, where revenue is not critical, we are also achieving our goals. Metrics on hits for these volumes indicate a broad international audience, and the acceptance of digital publication for academic promotion credit seems to be well established at this point. In 2012, one of these volumes received a prestigious disciplinary book award, and in 2013, CCDP volumes garnered three more book awards. Of course, the series here is only one
contributor to a broad academic/cultural movement toward acceptance of refereed non-print publications, but for work like this to gain “book” awards—such traditional and conventional endorsements—from learned societies in the less than five years since the series was established, we feel indicates a watershed moment in the history of digital humanities publication.

The Once and Future Collaboration

The most recent chapter (one wouldn’t want to say the final chapter) in the case of the USU Libraries and USU Press collaboration brings a complication. By 2011, although the worst effects of the Great Recession were past, the USU central administration, in another cost-cutting move, elected to rescind the remaining budget that supported salaries at the university press—and again they chose not to balance this cut with an equivalent addition to the library budget. Thus, although the library could continue to provide office space and overhead, it did not have the budget to take on additional salaries. This is a complex narrative that has been described in another forum (Spooner, 2012), but, to our purposes here, we can report that the university press at USU was not ultimately shuttered as planned. Instead, the library and press found a new collaborator in the University Press of Colorado (UPC). In a multi-part agreement, UPC acquired copyrights to all USU Press content; remaining USU Press staff were terminated at USU and became employees of UPC; and all USU Press revenue was redirected to UPC. USU Press exists at this writing as an imprint of UPC, and publishes for the same disciplines in which it has long been established. UPC leadership has confirmed the relationship with USU Libraries and continues depositing USU Press titles into the USU repository.

As a consortium, UPC is not a division of one university but is collectively supported by nine separate institutions, now including USU. Thus, in a real sense, what began at USU as a relationship between one modest library and one small press at one land-grant university now represents a collaboration endorsed by a collective of institutions with a joint interest in seeing it succeed and evolve.
References


Open Access Journal Incubator at University of Lethbridge Library

Sandra Cowan
University of Lethbridge

IN THIS CHAPTER
Theme
Developing library-based publishing systems through an incubator program

Highlighted Service
Open Access journal management & hosting

Software/Platforms Utilized
Digital Commons by bepress, Open Journal Systems, & Drupal

Resources
Shared workflow checklists of technical considerations & discoverability

The University of Lethbridge Library entered into collaboration with English faculty member and digital humanities scholar Dr. Daniel Paul O’Donnell and the School of Graduate Studies in order to establish a journal incubator to publish open access journals. As part of the library’s broader initiative to become a campus collegium for the management of scholarly research lifecycles, the library’s Research Support Services group has been working with Dr. O’Donnell over several months in order to identify ways in which the library can be involved with the journal incubator. The Research Support Services group consists of librarians Sandra Cowan, Rhys Stevens, Marinus Swanepoel, Maxine Tedesco, and Associate University Librarian Wendy Merkley. As a small university library, this is
an opportunity to integrate stakeholders and resources across campus in order to successfully implement a library-based publishing model.

The journal incubator came to the library with a stable of three peer-reviewed open access journals: Digital Medievalist, Digital Studies/Le champ numérique, and The Canadian Journal of Netherlandic Studies. Library administration agreed to provide an office in the library for journal incubator operations. Office space is shared by the graduate student editors of the three journals. The School of Graduate Studies supports students in this work because it recognizes the value of the journal incubator in providing transferable and marketable skills to the students, and so it provides funding through special research assistantships of $7,000 per year in addition to the graduate students’ standard graduate teaching assistantships. Currently, the journal incubator is sustained by this funding for graduate student staffing, along with in-kind contributions on the part of Dr. O’Donnell, faculty board members and editors, and the library. The group is beginning to pursue grant funding in order to develop, document, and share standard processes for open access journal publication as well as—more ambitiously—broader scholarly research lifecycles.

The journals have already been in publication for several years, and one of them has recently transitioned from print to digital. Each journal has a different format, and different software and processes are used in their production. The idea was to bring them together to streamline and standardize processes. The journal incubator project has several goals, which include to:

- Streamline production and business models.
- Reduce duplication of resources and effort in journal production on campus.
- Establish a process or “package” that can be offered to scholars interested in starting up new open access journals.
- Increase the research profile of the university by attracting and producing quality scholarly journals, and by acquiring external funding to facilitate the project.
- Increase the impact of the journals being published.
- Provide graduate students with an opportunity to develop professional skills and experience in publishing and editing.
- Leverage the expertise of librarians in order to enhance the scholarly publishing process.
- Enhance the library’s role in scholarly research and publication.

Journal incubator operations have been housed in the library for about a year, but it took some time to define the role of librarians in the project, because editing, production, and communications were being handled by the graduate student editors. After some discussion of
the journal incubator processes, lacunae were identified. It became clear that there were several areas in which librarians had expertise to offer, such as:

- Metadata standardization
- Discoverability: indexing, cataloguing, aggregators, search engine optimization, and social media
- Researching and recommending standards in publishing format and software
- Impact and bibliometrics
- Archiving standards, procedures, and space
- Intellectual property standards and recommendations

**Metadata Standardization**

There are a few different opportunities for metadata creation and standardization, primarily in website encoding and in cataloguing for inclusion in the library catalogue, from which the records will be uploaded into OCLC’s WorldCat. Journal- and article-level metadata should be optimized for discoverability by search engines, and to ensure the option of indexing in key databases. For example, the Directory of Open Access Journals (DOAJ) requires metadata to be in XML. Different indexes may have different standards and requirements, so it is important to target the most important ones for each journal.

**Discoverability**

Metadata is necessary for discoverability; if the design and metadata are good, the journal’s content should start showing up in search engines such as Google Scholar within a few weeks as Google’s crawlers locate it. Databases and aggregators require application for inclusion, and most of the major ones require the journal to have published a certain number of years and/or articles and to measure up to other criteria before being considered for inclusion. The library can catalogue the journals and include them in our local catalogue, which will periodically be uploaded into OCLC’s WorldCat for international exposure. The library can also help publicize the journal incubator through our social media venues, currently including Facebook and Twitter.

**Publishing Format and Software Standards**

Librarians are well positioned to research different publishing systems available, such as Open Journal Systems (OJS), bepress Digital Commons, or a homegrown system, and make recommendations for selecting one as the standard for the journal incubator, which is currently producing each journal on a different and idiosyncratic system. Likewise, librarians are able to research output formats, whether HTML, XML, PDF or EPUB, and make recommendations about which ones are better for long-term sustainability, accessibility, indexing, and discoverability.
Impact and Bibliometrics

Impact factors are important in the reputation and professional recognition of both the journals and the contributors. Typically quantified by citation statistics which are calculated to inform impact factors (for journals), and h-index (for authors), these are important data in the scholarly world. Getting into Google Scholar, and—once the journal has established a track record of publication longevity and quality—applying to be included in databases such as JSTOR and Web of Science are critical to the measurement of citation impact.

Archiving Standards, Procedures, and Space

The library has expertise in digital collections and archiving, and we are looking into ways that we can share both the expertise and resources with the journal incubator. We are investigating the potential use of LOCKSS and Archive-it for archiving the journals, and we are learning about how to create permanent Web locations and access points—whether through a persistent URL or a digital object identifier (DOI)—in order to manage permanent access to the journals. Once a journal is indexed by the DOAJ, it will be included in the DOAJ e-Depot archives, an archiving project that the DOAJ is piloting with the National Library of the Netherlands for the long-term digital preservation of scholarly journals. Finally, we have recognized the need for more stable backup procedures and locations for the journals, and are discussing options such as a dedicated backup server and developing easier and more consistent backup processes in order to address this.

Intellectual Property

Researching and recommending standard licensing agreements to balance open access and intellectual property rights between the journals and the contributors, as well as between the journals and different databases, through Creative Commons or other licensing is an important task. Librarians can work with the University Copyright Officer to make recommendations.

Although we are a much smaller university with fewer resources, we have looked to the University of Michigan Library’s MPublishing program as an inspiration for our journal incubator project. Ultimately, we hope to include all aspects of the scholarly research lifecycle: from institutional and data repositories, to text encoding, to aggregator inclusion and intellectual property rights recommendations.

Each of the librarians involved has taken on one or more of the above areas with the goal of researching and recommending best practices in each area. By researching, recommending, and implementing best practices in many of the above areas, the library can make a substantial contribution to the journal incubator apart from simply housing its operations in-house. The collaboration is an opportunity to professionalize the journal incubator, and to expand the publication process to support further nascent scholarly journals. There is an additional benefit in increasing the professional skills and knowledge of the librarians involved in the project.
while better positioning the library in the context of scholarly communication, open access, and the scholarly research lifecycle.

The obstacles that we have encountered up to this point have much to do with the usual librarianly problem of having many diverse tasks to accomplish, and not quite enough people or time to work on everything that we would like to accomplish. None of the librarians have yet been able to devote significant amounts of time to the journal incubator research, given the myriad of other duties we are engaged in, and so we are moving forward slowly—but surely.

Something as simple as a preliminary workflow checklist has already helped the journal incubator by placing journal publication within a larger context that considers factors such as archiving and discoverability (see Appendix 1). Another simple solution was to include all of the existing journals in our library catalogue, which we quickly realized was missing two out of the three. We have begun investigation of a regional LOCKSS network as a possible archive for the journals, and we have begun to learn more about the criteria that indexes and aggregators use for journal inclusion, with the goal of getting all three journals into DOAJ first.

The group recently completed a grant application that may provide us with funding to develop a series of academic community colloquia and workshops around scholarly communications lifecycles, of which the journal incubator and the research issues that we have identified around it would be a significant part. From there, we intend to apply for more sustainable funding that would allow us to expand the journal incubator and to devote more librarian time to the endeavor. We are also considering hiring a library science graduate student intern for short periods of time to assist with the project. In the meantime, the incubator continues production of peer-reviewed, open access journals; the graduate student editors continue to learn valuable skills in editing, communications, project management, and document encoding; and the library continues to support the journal incubator as a library-based publishing initiative, as the librarians involved carve out time to contribute the project.

References


Appendix 1: ULeth Open Access Journal Incubator Workflow Considerations

Technical Considerations:
1. Decide on software/format
   - Options include Open Journal Systems (OJS), bepress Digital Commons, Drupal, homegrown system, XML, HTML, PDF, etc.
   - Consider search engine optimization (SEO) and accessibility issues
   - Consider workflow and version control
2. Ensure server space(s)
3. Establish domain name

Journal Review and Publication:
1. Request an ISSN for journal
2. Staffing:
   - Editorial board
   - Editorial staff (grad students)
   - Peer reviewers
3. Solicit articles
4. Review and publication process
5. Creative Commons licensing
6. Distribution

Discoverability and Impact:
1. Journal and article standardized metadata
2. Search engine optimization (SEO) (eg. keywords, metadata)
3. Ensure SEO specifications to be included in Google Scholar (provides citation data)
4. Catalogue and include in local library catalogue and WorldCat upload
5. Apply for inclusion in Directory of Open Access Journals (DOAJ)
6. Apply for inclusion in Ulrichsweb Global Serials Directory
7. Apply for inclusion/indexing in major databases relevant to journal’s discipline, such as:
   • JSTOR, EBSCO
   • ISI Thomson Web of Science (provides citation data and impact factors)
   • European Reference Index for the Humanities (ERIH) (Humanities)
   • Scopus (Sciences)

**Digital Preservation:**
1. Ensure back-up routines
2. Encourage authors to deposit articles in institutional repository
3. Investigate use of Archive-it for archiving
4. Investigate use of LOCKSS system for archiving
5. DOAJ e-Depot archives (pilot project)
Digital Publishing at Feinberg Library: The Institutional Repository as Outreach Initiative

Joshua F. Beatty
SUNY Plattsburgh

IN THIS CHAPTER

Theme
The role of outreach in publishing through an institutional repository

Highlighted Service
Publishing and hosting through an IR

Software/Platforms Utilized
Digital Commons by bepress

Resources
Discussion of publication processes and example publications

Feinberg Library is a medium-sized academic library at SUNY Plattsburgh, one of New York’s teaching-oriented public comprehensive colleges. In 2012 Feinberg librarians launched “Digital Commons @ SUNY Plattsburgh,” (http://digitalcommons.plattsburgh.edu) an institutional repository and publishing system hosted on Berkeley Electronic Press’s (bepress) Digital Commons platform.

Outreach Philosophy

From the beginning our Digital Commons has been conceived of as an outreach initiative rather than a systems-side initiative. This initially came about as a practical decision, as the library needed to fill a reference and
instruction position and added research of an institutional repository (IR) to the job duties. But the decision was fortuitous, as the view of the IR as a tool primarily for outreach grew into a central tenet of our vision.

This philosophy has led us to deemphasize the traditional role of the institutional repository as an archive of previously published work. One of our primary concerns has always been to avoid “roach motel” syndrome, in which data enters the digital archive and never comes out (Salo, 2008, p. 98). We wanted to ensure that whatever documents we had in the repository mattered to faculty or students currently at the college. This meant forgoing sources often used to rapidly populate a repository. For example, we decided that we would not start our Digital Commons by digitizing old masters’ theses.

Instead of archiving previously published work, we have instead focused on publishing original student and faculty materials. Thus, we wanted to allow Plattsburgh faculty and students to showcase their work in ways that simply were not possible on any other college-run service, such as personal or class websites. The goal is to put in materials that people from both inside and outside the college community will want to see. And the best way to do that was to work with individual faculty and their students to identify the work that excited them, and that they wanted to make available.

**Publishing Process**

Thus, we have made it a key tenet of our repository to encourage faculty and students to take part in the publishing process. We do not want to just publish materials for students or faculty, but to work with them to build something new and to best showcase their work within the particular space of the repository.
As a result, we have relied on word of mouth to find materials for the repository. All librarians at Feinberg serve as liaisons to several departments. Those librarian-teaching faculty contacts have been key in identifying professors who want to be engaged in publishing material with us. Though we are publishing undergraduate and graduate student work as well, we are not directly contacting them; the first meetings are always with a faculty member mentoring students.

In theory, the repository manager and the faculty member have clearly delineated roles. The repository manager has responsibility for setting up the series, training the faculty member, and troubleshooting any issues. Faculty are expected to upload documents, add metadata, and make any necessary edits. In practice, the repository manager shoulders some of those duties. They step in more often to assist faculty who are less comfortable with technology. And if administering a series means simply uploading two text documents a year, it is just as easy for the manager to quickly add the materials. But for more complex series requiring more frequent maintenance, we insist that the faculty member take at least an equal share in administrative duties.

The repository manager meets in person with the interested faculty member. Here we listen to the patron and find out what material he or she wants to publish, and if he or she has a pre-existing idea for how the material should appear in the repository. Digital Commons has a number of different “gallery” types appropriate to different collections of work. We often open up a three-way conversation among the repository manager, the faculty member, and bepress’s (outstanding) support staff to discuss the best way to publish the material.

The repository manager and library staff might upload some of the materials themselves, but we do not want this to be fully our responsibility. Instead, we add the faculty member as an administrator of their materials. We sit down with the professor for a one- to two-hour session to show them the ins and outs of the Digital Commons interface. During this session we walk the patron through the publishing process, showing the faculty member how to upload materials and how to enter metadata for the collection.

The repository manager, to be sure, will still have to troubleshoot issues. The point is not to push the faculty member or student to shoulder all administrative responsibilities, but to actively engage them in the process of digital publishing. By understanding the particular platform on which they publish, they will be better able to communicate their needs back to the repository manager. The instruction session, we have found, serves much the same purpose as a reference interview. Through the process, the librarian comes to better understand the patron’s specific needs and can, when necessary, suggest solutions that neither would have considered otherwise.

Digital Commons, we have found, is particularly well suited for a repository in which responsibility for administration of individual collections is shared by librarians and teaching faculty. It is based on the EduKit publishing platform. Neither the librarian nor faculty member needs programming knowledge. The interface is Web based and fairly simple. After an initial
instruction session, even faculty with limited computer skills have been able to manage their own materials. And they can very quickly see the results online. Digital Commons is particularly strong at search engine optimization. When we post work, we find that it shoots to the top of Google searches within days. Authors are invariably delighted when they Google themselves and see their repository publication near the top of the results.

Examples

Student Work: Expeditionary Studies

Because our repository intends to emphasize student work as well as faculty work, we want to work with enthusiastic faculty to help put their students’ best work online. Perhaps our most successful initiative so far has been a partnership with Plattsburgh’s Department of Expeditionary Studies (http://www.plattsburgh.edu/academics/exp/). During their senior years, students majoring in Expeditionary Studies first plan for and then travel on an adventure expedition. Their plans are the length of a typical senior thesis and include an itinerary, a list of supplies, and a detailed description of their emergency preparations. After the plan is approved by a department committee, the students then follow through on the plan. In recent years, students have kayaked around the Isle of Skye and through the rivers of the Mekong Delta, climbed Devil’s Tower in Wyoming, and skied the backcountry of the Sierra Nevadas.

In December 2012, working with the department chair Larry Soroka, we began putting the expedition proposals online in our Digital Commons (http://digitalcommons.plattsburgh.edu/expeditionproposals/). The response was immediate. Students were happy to have a place to show off their proposals to the world. It became easier for juniors beginning to plan for 2013–2014 to get a sense of the task before them. And interested people from beyond the college wrote the students to ask for more information about their trips.

As the proposals were so well-received, the department has asked us for help in making further materials available. After returning, each student makes a presentation about their expedition. The form of the presentation varies by student. It might be a PowerPoint or a slideshow; it might include video or audio footage. Working with the faculty and the students, we plan to begin adding these presentation materials to the Digital Commons. Our goal here will not be to archive everything, but to use the particular form granted by our publishing platform to tell the student’s story through a selective group of materials. In other words, it will be curated content.
Faculty Partnerships

We are also using our Digital Commons to identify and publish work that, while worthy, cannot be published via traditional methods. The scholarly publishing crisis is real; the humanities, in particular, are in a difficult spot. Many university presses are closing and those still open now release fewer books, even as there is more and more pressure for faculty to
publish. Thus, we want to partner with faculty to publish work that would otherwise not see the light of day.

If the market for monographs is limited, the market for edited primary sources is even more so. In the fall of 2012, the library’s liaison to the English department alerted the repository manager that a modern languages professor, Isabel Arredondo, had been unable to find a publisher for such a book. Arredondo had published a Spanish-language edition of a book of interviews with Mexican women filmmakers, but she was unable to find a press interested in producing an English edition. Arredondo wanted to make these interviews available to the public and to be able to cite them in an upcoming monograph. We have used Digital Commons to make the English-language manuscript (http://digitalcommons.plattsburgh.edu/modernlanguages/1/) available—Arredondo, of course, retains the copyright.

Arredondo’s monograph will be published later this year. The publisher of that book is delighted to have the primary sources available online. We are adding information about the monograph to the Digital Commons page for the interviews manuscript. That page is already very visible in search results; Arredondo hopes that by associating it with the upcoming monograph to the Digital Commons page for the interviews manuscript. That page is already available—Arredondo, of course, retains the copyright.

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Arredondo’s monograph will be published later this year. The publisher of that book is delighted to have the primary sources available online. We are adding information about the monograph to the Digital Commons page for the interviews manuscript. That page is already very visible in search results; Arredondo hopes that by associating it with the upcoming monograph she can raise the profile of both.

**Digital Commons @ SUNY Plattsburgh**

An online repository of the college’s intellectual work


**Isabel Arredondo**

**Book**

**Publication Date**

2012

**Abstract**

In *In Our Own Image: An Oral History of Mexican Women Filmmakers (1988-1994)*, a translation of Isabel Arredondo’s *Palabra de Mujer: Historia oral de las directores de cine mexicano 1988-1994*, the translator and editor of this volume, Andrew Knight, and Isabel Arredondo introduce this collection of oral histories. These interviews trace the emergence of a new perspective in Latin American cinema. Beginning in the 1980s, social problems are approached from the perspective of the individual; a person’s gender, ethnicity, and sexual orientation become the link to the society. The filmmakers, studied here in Our Own Image as a group, give a coherent overview of the problems in Latin American society, especially Mexican society, from a gender perspective at this time.

Introductions, which includes interviews with key figures of the state film industry in Mexico, describes how these interviews were produced within this industry, the incentive for having a new perspective, and the significance of this perspective within the broader cultural context.

**Comments**

One of the most powerful features of the Digital Commons platform is the ability to publish peer-reviewed journals online, and to conduct the entire submission, review, and revision process through Digital Commons. The author submits a .doc or .pdf file directly to Digital Commons. An editor receives the submission and passes it on to peer reviewers, who in turn read the manuscript and send back comments to the editor and then to the author. All communication among author, editor, and reviewers, then, is through the Digital Commons interface, and Digital Commons keeps track of where the article is in the publishing workflow.
We have encouraged existing journals and magazines to shift their digital publishing to our Digital Commons. And we have worked with our Center for Teaching Excellence to produce a new, born-digital journal. At the end April 2013 the CTE announced *The Common Good: A SUNY Plattsburgh Journal on Teaching and Learning* (http://digitalcommons.plattsburgh.edu/commongood). The journal is intended to feature cross-disciplinary writing in the new field of “scholarship on teaching and learning” and includes work by both faculty and students.

### Setbacks

Our model of emphasizing outreach and shared responsibility has been quite successful as we come up on the one-year anniversary of opening our Digital Commons. But not all has gone smoothly.

The advisor of a student literary magazine asked us to help the students publish a digital version on our Digital Commons. The repository manager and the library’s Web design expert worked with two student editors of the magazine to design a site for the digital journal. The editors trained on the platform and practiced on a demo site. But, just before the final site was to go live, the others students on the magazine staff protested that the site did not properly reflect their individuality. The advisor bowed to pressure and abandoned Digital Commons.

In retrospect, the student advisor had not been fully engaged with the planning process, nor had she taken the training workshop. She had left execution to the two bright and dedicated student editors. But when the other students raised concerns, the student editors did not have the power to overrule them, and the advisor did not have the understanding of the platform to explain the benefits.
The Digital Commons site for the student literary magazine still exists; if the next year’s students want to use it we will happily work with them. But our failure to make sure that the faculty advisor as well as the student editors was fully engaged with the publishing process led to disappointment for us, a lost opportunity for the students to publish on a professional platform, and a great deal of wasted effort by the student editors.

Conclusion

Our first year using our Digital Commons as an outreach initiative has, overall, been a success. But the success of each individual publishing project has depended on the rapport formed between the repository manager and the faculty sponsor of the work. When the faculty member has been fully engaged with the publishing process, their projects have attracted interest and led to further possibilities. When the professor has taken a hands-off approach, the projects have stagnated. It is thus the librarian’s responsibility, under an outreach model, to listen to what is said and not said, to take the partner’s hopes and fears into account, and to continually find creative solutions to problems expected and unexpected—the same, then, as in any other good conversation with our patrons.

References

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“A library, to modify the famous metaphor of Socrates, should be the delivery room for the birth of ideas, a place where history comes to life.”
~ Norman Cousins

Eastern Kentucky University (EKU) Libraries began exploring the institutional repository (IR) landscape in 2009 with the intention of publishing electronic theses and dissertations (ETDs), journals, special collections, images, videos, sound files, or anything else that would fit a need for us. The hosted systems we examined were effective as either platforms for displaying special collections or platforms for managing publishing processes. However, we didn't find a system that did both of those things well. The existing open source platforms were capable of ingesting and effectively displaying a wider range of file types (including images files), but
these systems required technical staffing levels that we could not support. After assessing the different systems, the ability of our staff to support them, and the needs of our institution, we realized we would have to narrow our publishing scope and identify fewer goals for the hosted repository, and let those goals inform which platform to choose.2

Discussion

Informed by the SPARC research report Library Publishing Services: Strategies for Success Research Report (Mullins) finding that publishing services were a growth area for academic libraries, EKU librarians determined that journal hosting would provide the most valuable service for our campus community. Specifically, we identified a potential for increased faculty engagement, having been approached by several faculty members expressing interest in editing journals to host locally. This would provide our scholars with an opportunity to publish unique content and contribute high-quality peer-reviewed journals in niche areas of strength at EKU (such as Fire Science and Regional Engagement). Additionally, we identified local journal publishing as a way to disrupt the unsustainable journal publishing model and to contribute to the open access (OA) movement in the scholarly communication system.3 We concluded that the future of academic libraries involved more than just serving as a “middleman” to the provision of content but rather as a participant in the production of scholarship.

EKU librarians determined that journal hosting would provide the most valuable service for our campus community.

EKU Libraries did not have enough programmers on staff to support an open source solution, so bepress’ Digital Commons was chosen. Built on a journal publishing platform, Digital Commons’ ability to serve as a management tool for journal hosting was its primary benefit. Additionally, it could serve as a container for other potential collections of our repository: electronic theses, faculty scholarship, curated data, and limited archives materials.

After choosing the platform, we began the process of determining what needed to be communicated to potential journal publishers. There were three categories of editors: those who had expressed an interest in editing journals based at EKU, those who were editors for
print journals based at EKU, and those who were editors for journals not based at EKU. The following goals for communicating with these editors or potential editors were identified:

- Educate faculty about OA and the unsustainability of current scholarly communication models
- Inform faculty of the journal publishing tools in bepress
- Market the library as a host for the processes of production and distribution of information as opposed to simply a warehouse of published information
- Market librarians as partners in the scholarly communication process
- Market the repository as a tool for highlighting the scholarship of our institution and region, in line with the regional stewardship goals of EKU
- Convey the potential of the repository to allow EKU to make a unique contribution to OA digital scholarship
- Provide a forum for librarians and novice and experienced editors to share editorial knowledge, experience, ideas, and questions

Professional Learning Community

To achieve these goals, Dean of Libraries Carrie Cooper asked Edwards and Sizemore to design and lead a professional learning community (PLC). At EKU, PLCs are typically semester-long, active collaborative learning experiences with regularly structured scholarly activities leading to an end product such as a report or presentation. A PLC can be ingrained in the infrastructure of an organization as a way of working together which results in continuous school improvement (Hord, 1997). EKU’s professional learning communities are modeled on Peter Senge’s description in *The Fifth Discipline Fieldbook* (1990, p. 5), as spaces “where people continually expand their capacities to create the results they truly desire, where new and expansive patterns of thinking are nurtured, where collective aspiration is set free, and where people are continually learning how to learn together.”

EKU’s Teaching and Learning Center (TLC) has been using the approach of PLCs for several years as a means to address issues and challenges confronting EKU faculty and students. In the fall of 2010, Dean Cooper approached the TLC about hosting a PLC on “Becoming a Successful Journal Editor.” The TLC agreed to host it and to help subsidize refreshments for each session. In addition to providing financial support, they worked with Edwards and Sizemore to find ways to tie the PLC to the campus-wide Scholarship Week event scheduled later that year. Once details of the partnership with the Center were finalized, we focused on recruiting participants for the PLC.

Recruitment

Dean Cooper reached out to faculty members who had already approached her to express interest in either starting a new journal or transferring an existing journal to the Encompass
platform, and she simply invited them to participate in the PLC. The TLC also suggested additional faculty members, based on their conversations with faculty members who had discussed journal editing with them. Because the number of faculty members pre-identified already met the recommended number of participants for a PLC (8–12), we decided not to issue a campus-wide call for participants and instead focused on writing formal letters of invitation (see Appendix A) to the identified faculty members (as recommended by the TLC). The 12 faculty participants included Edwards and Sizemore, plus a mix of seasoned journal editors and faculty interested in becoming journal editors.

Curriculum

Instead of being didactic, the curriculum for the PLC was structured around active learning techniques where the leaders facilitated conversations. The goals of the PLC were to encourage discussion, exchange knowledge/information among participants, and expose participants to the newly acquired Digital Commons publishing platform, branded “Encompass” (http://encompass.eku.edu/).

Sizemore and Edwards selected a broad theme for each session that served as a launching pad for the discussion. They gave the participants opportunities to tailor the PLC to their interests, first by sending tentative session ideas to the participants for their review and feedback and later by spontaneously changing the theme of a session in order to address questions that were raised in a previous discussion. After feedback was received, a final schedule was developed and distributed to the participants (see Appendix B). The sessions were held in the spring of 2011.

For the sessions that did not feature guest speakers, the facilitators began with open-ended questions to prompt discussion (e.g., as an editor-in-chief who is also a faculty member with teaching and service responsibilities, how do you manage workflow with limited staff for a journal?). Additionally, participants came prepared with their own questions related to the topic at hand.

The sessions featuring guest speakers proved especially successful, as PLC participants appreciated engaging with experts in an intimate setting and exploring each topic in-depth:

1. The Journal Editor panel featured two editors of well-respected journals: Dr. Vic Kappeler, an editorial board member for Criminal Justice Review, a peer-reviewed scholarly journal focused on criminal justice issues in the United States, and George Brosi, the editor of Appalachian Heritage, a literary quarterly featuring creative writing and art of the Southern Appalachian region. The facilitators sent a brief list of questions about the process of editing and/or managing a journal to the guest editors in advance of the PLC so they would know what to expect (see Appendix C).

2. The Scholarly Communications session with Lee Van Orsdel, Dean of Libraries at Grand Valley State University and scholarly publishing expert and OA advocate, was integrated into the series of events planned for EKU’s Scholarship Week. After presenting a campus-
wide lecture on the current state of scholarly publishing and the emergence of OA due to its importance in addressing the crisis in journal pricing (bit.ly/10132Ai), Van Orsdel met privately with PLC participants to discuss OA in more detail.

3. Lastly, Russell Helms, managing editor for *Jelly Bucket* and *Aurora*, two creative writing journals produced at EKU, shared tips on maximizing journal quality, and the “dirty business of running a journal.” In addition to suggesting ways to attract quality submissions, he discussed the importance of paying attention to the design elements of a journal (logo, text design, use of color, etc.), as the visual elements of a journal are usually the first things a reader notices and thus will influence his or her opinion about the quality of the journal.

**Outcomes**

EKU Libraries considered the Journal Editor PLC a success because it inspired thoughtful conversation, opened new lines of communications with faculty, and led to the development of several locally hosted journals. Journals emanating from PLC group members include:

- Kentucky Journal of Excellence in Teaching (http://encompass.eku.edu/kjectl/)
- PRISM: Journal of Regional Engagement (http://encompass.eku.edu/prism/)
- Journal of Military Experience (http://encompass.eku.edu/jme/)
- ninepatch: A Creative Journal of Women & Gender Studies (http://encompass.eku.edu/ninepatch/)
- A forthcoming peer-reviewed journal: JARFS: *Journal of Applied Research in Fire Sciences*

[The program was] a success because it inspired thoughtful conversation, opened new lines of communications with faculty...

Participants who arrived feeling uncertain about where to start with journal editing left with insights into the practical responsibilities of editing and hosting a journal: time commitments, workflow design, article submission processes, copyediting, obtaining an ISSN, designing a logo, organizing the website, etc.

The PLC brought more awareness of the differences between publishing in print and publishing online and exposed some faculty to the concept of high-quality peer-reviewed OA online journals. Furthermore, it expanded the discussion about OA journals on campus and illuminated the debate between the humanities and sciences on the feasibility and importance of OA publishing. There were good “devil’s advocates” in the group that enlivened the discussions of OA, particularly around the issue of creative works.
There were a few challenges. In the participant feedback forms only one participant felt that he did not learn new information. Scheduling was problematic: Several of the participants were not able to attend regularly due to time conflicts. Additionally, this was quite a large time commitment for librarians Edwards and Sizemore who planned and facilitated the PLC, and was challenging to fit the work in with regular job responsibilities.

After launching Encompass in 2011, it quickly became a popular destination for researchers. In its first year, the 2,453 items deposited in Encompass were downloaded 75,226 times (an average of 30.6 downloads per item). In 2013, the Journal of Military Experience was profiled in the New York Times (Simon, 2013). As of the writing of this report, the repository’s sixth journal, The Journal of Retracing Africa (http://encompass.eku.edu/jora/), has started accepting submissions.

References


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**Endnotes**

1 Shilling, p. 135.

2 See Burns for a research study examining the costs and values of IRs, especially as they relate to the types of services offered and the size of the institution.

3 Several studies have explored this. For example, see McGuigan, Waltham, and Ovadia.

4 See http://www.tlc.eku.edu/professional-learning-communities and http://www.allthingsplc.info/about/evolution.php

5 See http://www.tlc.eku.edu/faqs
Appendix A

Dear [Name],

During the Spring 2014 semester, EKU Libraries and the Teaching & Learning Center (TLC) are offering a professional learning community (PLC), “Being a Successful Journal Editor.” As facilitators of this community, we would like to extend an invitation to you to be a participant in this community because you are currently a journal editor or have expressed an interest in developing an online journal in EKU’s institutional repository, Encompass.

Participants in the “Being a Successful Journal Editor” PLC will:
- Have an opportunity to engage in discussions about a new or existing journal
- Learn strategies related to creating a broader readership
- Discuss trends and issues related to scholarly communication and open access
- Learn how to host an online journal through Encompass, EKU’s institutional repository.

The PLC facilitators will provide you with:
- Guided discussions
- Guest speakers
- Individualized assistance with your journal if hosted or Encompass
- Snacks

We anticipate the PLC will meet 3-6 times on alternate Fridays during the spring semester for an hour each session.

Please email Laura Edwards at lara.edwards@eku.edu as to your interest and any questions you might have so we can start planning our professional learning community.

Sincerely,

Laura Edwards,  
Electronic Resources Access Librarian

Linda Sizemore,  
Government Documents & Law Library Team Leader

Hal Blythe, Co-Director  
Teaching and Learning Center

Charlie Sweet, Co-Director  
Teaching & Learning Center

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Appendix B

JOURNAL EDITOR PLC

SCHEDULE & SPECIAL EVENTS

FEBRUARY

2/4: INTRODUCTIONS/SVERSE YOUR JOURNAL

SHARE YOUR JOURNAL AND ANY CHALLENGES YOU FACE AS AN EDITOR

DISCUSSION POINT: WHAT MAKES A GREAT JOURNAL

2/18: JOURNAL EDITOR PANEL DISCUSSION

PANELISTS: DR. VIC KAPPFELN, EDITORIAL BOARD MEMBER FOR CRIMINAL JUSTICE REVIEW; AND GEORGE BROSI, EDITOR OF APPALACHIAN HERITAGE

DISCUSSION POINT: ROLE OF EDITORS AND EDITORIAL BOARD MEMBERS

MARCH

3/4: DIRTY BUSINESS OF RUNNING A JOURNAL

DISCUSSION POINT: MANAGEMENT STRATEGIES

3/18: SCHOLARLY COMMUNICATIONS WITH SPECIAL GUEST LEW VAN ORSDOE

LEE VAN ORSDOE, DEAN OF UNIVERSITY LIBRARIES AT GRAND VALLEY STATE UNIVERSITY AND MEMBER OF THE STEERING COMMITTEE FOR SCHOLARLY PUBLISHING AND ACADEMIC RESOURCES COALITION (SPARC), SPEAKS NATIONALLY AND INTERNATIONALLY ON SCHOLARLY COMMUNICATIONS ISSUES.

TENTATIVE: 10 AM CAMPUS-WIDE PRESENTATION

TENTATIVE: DINNER WITH LEE, EITHER THURSDAY 3/17 OR FRIDAY 3/18

3/28 – 4/1: SCHOLARSHIP WEEK

3/28: ENCOMPASS & SELECTED WORKS (11:15 AM)

3/29: BRAIN RULES OF SCHOLARSHIP, BY BRAIN RULES AUTHOR JOHN MEDINA (12:30 PM)

(For more Scholarship Week events, see http://www.eku.edu/workshops/)

APRIL

4/1: BROADENING YOUR READERSHIP

DISCUSSION POINT: STRATEGIES FOR WIDE DISTRIBUTION OF YOUR JOURNAL

Appendix C

Questions for Journal Editor Panelists

February 18, 2011

◇ How authors choose a journal for their submission
◇ On multiple submissions of the same article to different journals
◇ How authors should write a cover letter
◇ How authors should prepare papers for submission
◇ How editors assign papers to referees
◇ How referees evaluate articles
◇ How editors make publication decisions
◇ How authors should interpret the feedback of the referees and editorial decisions
◇ How authors should prepare the resubmission cover letter and response
◇ The types of collaboration that are permitted in an individually authored article
◇ How/when should authors obtain copyright permissions
◇ How a paper presented in a conference or on the Internet might affect submission to a journal
◇ How authors should engage in proofreading/copyediting
◇ Behind the scenes in the editorial office: questions about liaison, deadlines, inquiries from authors etc.
The California Geographer and the OA Movement: Using the Green OA Institutional Repository as a Publishing Platform

Michael Biondo & Andrew Weiss
California State University, Northridge

IN THIS CHAPTER

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<td>DSpace &amp; Open Journal Systems</td>
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Publishing in open access has been largely dominated by Gold OA journals. Publication in these journals, which in some cases have developed as the leading scholarly journals in their respective disciplines, provides immediate dissemination of information, a greater likelihood of citations for authors, and costs less than traditional publishing venues (Wagner, 2010). Lesk (2012) estimates that publisher Elsevier spends about $10,000 per article published, while the Public Library of Science (PLoS), a prominent Gold OA journal, spends only about $1,500 per article. PLoS’ fee-based approach is a vital part of the open access movement even as it erects economic obstacles for researchers who lack sufficient funding to
pay publishing fees. Total costs are clearly cheaper than their traditional counterparts, but those costs are essentially shifted from readers onto authors.

On the other side of the OA movement, Green open access repositories have traditionally been used for gathering previously published scholarly materials—usually pre-prints, post-prints, and the occasional final version from compliant publishers. Yet one recent strategy of institutional repositories has been to move away from being passive gatherers of self-archived content to becoming active promoters of new scholarship, especially in the creation of Web-based journals. This is occurring at significantly reduced costs as well. Cornell University’s Arxiv, for example spends approximately $7 per article to gather work in physics, mathematics, computer science, quantitative biology, quantitative finance, and statistics (Lesk, 2012). Peer review and other services still remain the responsibility of the journals.

The California State University, Northridge (CSUN) has joined this growing movement by providing space in its open access institutional repository, ScholarWorks, for The California Geographer, a journal currently edited by CSUN faculty. From May 2012 to April 2013, CSUN ScholarWorks, based on the open source IR software DSpace, has grown from roughly 200 items to nearly 2,200 (California, 2013). Growth has been evenly distributed between ETDs, which were mandated in May 2012, faculty publications, and several campus-based open access journals, including the English Department’s student journal, a journal of Chicana/o studies, newsletters and pamphlets in the Biology Department, and The California Geographer.

Publishing The California Geographer to a Shrinking Audience

The California Geographer serves as the flagship publication of the California Geographic Society. Through 52 volumes and nearly 400 articles, the journal had been published entirely in print form. However, in 2012 society members decided to move to an electronic-only version. The main reason to move to purely digital was to alleviate the growing costs of paper-based publication. According to the current editor and treasurer, Steven Graves, professor of geography at CSUN, yearly printing costs for the journal reached about $2,500, with approximately $1,400 going toward the copyeditor and $1,100 going toward the printing and mailing of the journal. Continuing to produce print journals was increasingly seen as an unsustainable practice. E-versions would be cheaper to produce and distribute, cutting out both printing and postage costs. Second, the society believed that e-versions of their work would be much more environmentally friendly, one of their core values as a geographic society (Graves, 2013).

The most pressing issue for the society, however, has been ensuring the journal’s accessibility to a wider audience. For the past decade The California Geographer had been available as a print journal with digital versions added to the online content aggregator EBSCOhost databases. The problem was that the journal was bundled with the company’s highest-priced access package, Academic Search Premier. As a result, the online articles were available neither to the CSUN campus itself nor about half of the other 22 campuses in the California State University system. Much of the journal’s readership, including CSUN faculty and students, was unable to access the journal except in print form. Ironically, this limited access occurred despite the fact that
the society had never transferred copyright to EBSCO. Their agreement merely allowed the company to distribute it online through a limited license agreement.

Moving The California Geographer to Open Access

Moving to open access turned out to be a relatively simple process. Once the editors had learned of CSUN ScholarWorks, its overall access and preservation philosophy, and its online search capabilities, the society’s board of directors voted to move the journal to open access. As owners of the copyright, they were not fettered with drawn-out negotiations to return transferred rights. Additionally, the board decided to keep the current agreement with EBSCO in order to continue receiving revenues, however diminished they might be.

ScholarWorks staff next took over the task of digitizing the print journals and cataloging them at the article level within the repository. It was considered easier to digitize the journals in-house as well as to secure any digital files from the journal editors than to deal with acquiring digital files from EBSCO directly.

Procedure

ScholarWorks staff obtained a print issue of each volume and began digitization with an Epson 10000 XL flatbed scanner. The resulting high-quality TIFF files were batch-processed in Photoshop, and merged and converted into multi-page PDFs. The digitization of the journal took approximately six weeks. This resulted in the scanning of over 5,500 pages and the creation of 400 individual PDF items. One-time costs are estimated at $50 for each item submitted to ScholarWorks during the period of time April 2012–March 2013 (this includes all items as well as The California Geographer). This is significantly cheaper than traditional or Gold OA publishing, though still about seven times higher than the Green OA repository Arxiv (see Figure 1).

Benefits and Impact

According to Library Journal’s Periodicals Price Survey 2012, the average price per title in geography was $1,348 (Bosch and Henderson, 2012). By choosing to forgo the traditional publishing model, which results in higher costs in both financial and environmental terms, the journal has become significantly more accessible and therefore more sustainable. Although the journal will continue to be edited by the members of the editorial staff, time and cost no longer need to be sunk in printing costs. The benefit of the savings offsets the eventual loss of royalties from EBSCO, which totaled roughly $850 in 2012. Including all costs associated with the print version of the California Geographer, which were about $2,500, the society was losing nearly $1,700 to publish and distribute the journal.
By choosing to forgo the traditional publishing model, which results in higher costs in both financial and environmental terms, the journal has become significantly more accessible and therefore more sustainable.

By placing the journal in CSUN ScholarWorks, the society benefits from a robust digital preservation infrastructure supported by the California State University’s Chancellor’s Office Digital Library Services. DSpace’s handle system provides each journal article with a permanent uniform resource indicator (URI), which functions like a digital object identifier (DOI). By adding the journal to the IR, the society also receives permanence and stability for its publication without incurring the high cost of purchasing its own server, storage, and backup.

The move from print to digital has a direct impact on the library itself. The Oviatt Library is currently transitioning away from the traditional model of stacks and individual study carrels toward a “Learning Commons” model of collaboration, multi-purpose use, and group-centered learning. As a result, interior space is a valuable commodity. The movement of journals, serials, and reference works from print to digital open access allows the library to free up space that can be used for student-centric activities. Librarians at Oviatt recently completed a thorough weeding of traditional reference materials, and the stacks and shelving that once housed print publications such as The California Geographer are scheduled to be removed to make room for its new Learning Commons. Print journals will be moved to Oviatt Library’s Automated Storage and Retrieval System (ASRS).

**Drawbacks & Solutions**

As mentioned earlier, one of the drawbacks from the move to ScholarWorks is the potential loss of royalty revenue that the publication receives from EBSCO for each download. Yet, as we demonstrated earlier, this amount is offset by the costs incurred by maintaining a traditional print model. Furthermore, it appears that only the years after 1990 are provided full-text in EBSCO. The first 30 years are therefore not available as full-text, which results in significantly fewer downloads and subsequent royalties.

A much larger concern expressed by members of the society was disappointment at the loss of a physical copy. The need for a physical copy appears to be drawn along generational lines. New members of the society, in fact, appear to be more comfortable accessing and reading an article on a tablet/iPad. Yet any PDF-based issue or article in ScholarWorks can be printed, usually in the exact form in which it was published. In contrast, though PDFs are available through EBSCO, the aggregator’s version is primarily accessible only in text-based HTML, which tends
to eliminate the character, physical context, and feel of the original print publication. In cases of items with maps and detailed images, this is a drawback. Ultimately, though, for those members of the society who still wish to receive a print version of the journal, the *California Geographer* editorial board could instead use the services of short-run, on-demand-printing, at a fraction of the cost of a traditional full print run.

It must be noted that EBSCO’s image scans in the supplied PDFs are also significantly poorer in terms of image quality. ScholarWorks, however, allows the journal to add high-quality supplemental files to items within the collection in any file format, including TIFF and JPEG2000. A good example of this added value appears in Volume 39 (1999) with the supplemental “Absurdist Cartographer Map” (see Figure 2).

Originally, this map was mailed out to all print subscribers subsequent to the journal’s publication. As it appears in the EBSCO database, however, the map is illegible and therefore unreadable. The text in the image is too small to read yet does not have sufficient resolution for zooming in. By scanning the supplemental map that appeared with the journal in a high-resolution TIFF file, viewers are able to get the full experience of “Dadaist geography” as intended by the author (Kaplan and Nemeth, 1999).

Another drawback stems from relying solely on the DSpace package to “publish” *The California Geographer*. While ScholarWorks staff members believe very strongly in creating open access journals, there are still some limitations to using DSpace as the primary publication platform. First, unlike bepress or Open Journal Systems(OJS), which could be implemented and integrated with DSpace, the stand-alone DSpace system does not handle the workflow of a peer-reviewed journal. It is not a full-service publishing platform. Additionally, while some systems can provide a unique “look and feel” for individual journals, we have not yet distinguished the journal from the framework of the IR. Because the journal is in reality a sub-community within the DSpace repository structure, it remains submerged within its hierarchy of community/sub-community/collection. One strategy taken to approximate the functionality of a dynamic table of contents for each volume, then, is to embed permanent links of the individual articles within the collection page.

**Future Plans**

Long-term planning will be implemented over the course of the 2013–2014 academic year. To accomplish this, a new Digital Publication Implementation Group was established by Oviatt Library Dean Mark Stover in May 2013. The members of this group will oversee digital journal publication as well as provide needs analyses for future projects. Although membership is currently limited to library faculty and staff, the group will reach out to form partnerships with campus departments and colleges interested in establishing or moving to online digital journals.

The first priority for the group will be to pilot OJS at the library. As it is an open source software system compatible with DSpace, it matches our philosophical goals while also
supplementing our long-term development model. By pairing an open access publishing system like OJS with DSpace, we can provide dynamic front-end accessibility with stable back-end archiving and storage. This is accomplished by the SWORD protocol, which, in layperson’s terms, basically pushes content into the DSpace system from source locations. CSUN already uses SWORD for its online electronic theses and dissertations (ETDs) submission forms. There are also plans to set up SWORD in various colleges and departments across CSUN in order to begin collecting materials for the university’s archives. The more drivers available for content submission, the more likely faculty and administrators will participate in adding content to an open access IR (see Figure 3).

Since mentioning the possibility of providing a publishing platform, various organizations and departments on campus have become very interested in partnerships.

Oviatt Library will consider plans to restart the currently shuttered university press, Santa Susannah Press, as an open access imprint. Multiple projects are on the horizon, including the archiving and publishing of conference proceedings and presentations for the 28th Annual International Technology and Persons with Disabilities Conference. Since mentioning the possibility of providing a publishing platform, various organizations and departments on campus have become very interested in partnerships.

Conclusions

The implementation and integration of open source, open access platforms such as DSpace and OJS will allow Oviatt Library to continue partnering with institutions such as The California Geographical Society, and promoting the dissemination of information openly, economically, and sustainably. Ultimately we see The California Geographer as the first jewel in an expanding crown of online electronic open access CSUN publications.

As we have seen with not only ETDs but with any formerly print collection moving to an online environment, the added value from digitization—increased access, cheaper printing costs, full-text searching, and so on—provides new life for the content. CSUN ScholarWorks statistics show multifold increases in ETD access. It is not unreasonable to expect similar increases in access to The California Geographer. Those who are vision impaired also benefit from the increased availability of the content in an ADA-compliant form, especially in PDFs that have been formatted with optical character recognition software.

Open access publication will surely continue to evolve and the Green open access IR may be poised to take over some of the duties of publishing that have been the primary domain of
the Gold OA movement. Lower overall costs for this type of model may signal perhaps that a hybrid Green-Gold OA movement will be our future.

References


Appendix:

Figure 1: A comparison of publishing costs for Gold OA and Green OA publishers. PLoS costs close to $1,500 per submission. ArXiv costs $7 per submission. CSUN’s costs are $50 per submission. Elsevier, however, is estimated at nearly $10,000 per submission. (Lesk 2012)
Figure 2: A comparison of the same sections of the Absurdist Map of the U.S. from the California Geographer, v.39, 1999. The image on the left is EBSCO’s version. The image on the right is the supplementary material version in CSUN ScholarWorks.

Figure 3: Diagram shows the central importance of the SWORD protocol for facilitating automated content submission into the DSpace repository. By integrating OJS with DSpace, another content driver functioning like CSUN’s ETDs online submission process or the proposed University Archives submission form will ensure the IR’s continued development.
A Case Study in Open Access Journal Publishing at Syracuse University: Library and University Press Partnership Furthers Scholarly Communications

Yuan Li, Suzanne E. Guido, & Suzanne Preate
Syracuse University

IN THIS CHAPTER

Theme
Working with a university press to host and manage journal publishing

Highlighted Service
Online journal hosting & publishing

Software/Platforms Utilized
Digital Commons by bepress & Open Journal Systems

Resources
Division of roles & duties between partners

Syracuse University is driven by its mission, “Scholarship in Action,” a commitment to forging bold, imaginative, reciprocal engagements with its many constituent local and global communities. These outward-looking engagements inevitably yield new forms of scholarship and new collaborative arrangements. To that end, open access (OA) journal publishing services are being developed at SU to meet the emerging needs of the campus community through a partnership between Syracuse University Libraries, Library Information and Technology Services (LITS), campus Information and Technology Services (ITS), and Syracuse University Press.
These services have been designed specifically to address faculty needs for new publishing venues, especially in interdisciplinary fields. The SU Libraries seek to provide faculty with non-commercial OA publishing venues, and the SU Press seeks to support research, teaching, and outreach at the university.

The SU Library launched its institutional repository (IR) in 2010 and started OA journal publishing services through its IR in 2011. As the number of faculty requests for e-journal publishing support increased, the SU Libraries began to explore a sustainable publishing service model, specifically the possibility of adopting an open source publishing system and collaborating with SU Press and ITS for complementary services. Two new OA journals are now in pilot stages under a joint library-press imprint, currently called Syracuse Unbound.

Using these two new OA journals—scheduled to publish inaugural issues during the 2013-14 academic year—as case studies, this paper will highlight the development of campus partnerships, share the implementation of publishing platforms and distributed workflows, and foster a discussion about innovative and collaborative strategies for SU Library publishing programs.

**SU Institutional Repository and Digital Commons**

In October 2010, SU launched its institutional repository, called SUrface: Syracuse University Research Facility and Collaborative Environment. The repository was built using Digital Commons (DC), a system developed by bepress, which includes a journal publishing module. Through it, SU Library is able to provide basic publishing services for faculty, students, and researchers interested in starting a new e-journal, hosting and publishing an existing e-journal, or digitizing a print journal. Early projects included a campus magazine and an undergraduate student journal. The services we’re able to offer through Digital Commons include hosting a standard e-journal site in SUrface, migrating back issues to the site, helping to draft copyright guidelines, applying for E-ISSNs, helping with indexing and abstracting, and software training and demonstration.

**New Demands**

In 2011, the library was approached by the director of Imagining America (IA)—a national consortium focused on publicly engaged scholarship—with interest in developing a journal concept. The journal development team included a national group of IA scholars led by two SU professors in architecture and design. The result is *Public: A Journal of Imagining America*. This peer-reviewed journal required editorial expertise, sophisticated design, and user interface customization that the current DC platform was unable to support.

In early 2012, the director of the Syracuse University’s LGBT Studies program reached out to the SU Libraries for support and guidance in publishing the *Journal of Diverse Sexualities*, “an open-access, peer-reviewed journal dedicated to publishing scholarship, criticism, and commentary.” This publishing model would encourage a broad readership beyond the academy.
Although this journal does not require the same level of customization as Public, it does require some design and editorial support and the ability to accommodate multimedia elements.

These requests exceeded our existing service capabilities. Subscribers to Digital Commons are allowed to host five journals without additional charges, but beyond that, a per-journal setup fee applies. This added cost could become a challenge for both the SU library and researchers, heightening the need to explore a different model for providing campus publishing support.

**Open Source Publishing System Adoption**

While Digital Commons provides a centrally hosted and maintained service, allowing libraries to focus staff resources on content acquisition and management, it is not fully customizable. The SU Libraries began looking for a system that was less expensive and more flexible, and as a result adopted Open Journal Systems (OJS), an open source software system developed by the Public Knowledge Project (PKP), that is typically implemented, hosted, and maintained locally. This option offers hosting libraries flexibility and local control, but also requires dedicated technical staff and other resources (e.g., online storage). The best solution for a given library depends on a number of factors, such as the institution’s size, technical capacity, and available resources. Working with campus ITS, the SU Libraries added OJS as an alternative to Digital Commons to meet the more sophisticated demands of these publishing projects. ITS provided server space for the OJS system and two pilot journals, as well as assistance with front-end design for one of the journals.

**Library-Press Partnership**

In addition to exploring open source systems, the library also sought a partner to assist with editorial consultation and production. Because SU Press had recently become administratively part of the library, SU Libraries administration viewed this as an opportunity for mutually beneficial collaboration. The library staff’s skills in organizing, describing, managing, disseminating, and preserving scholarship and technical expertise in information management could complement the traditional publishing skills of a university press staff—peer review oversight, manuscript editorial management, design, marketing, and production.

For SU Press, the partnership offered an opportunity to collaborate closely with colleagues at the SU Libraries, to interact directly with SU faculty, and to offer its editorial and design services in a way that would support the dissemination of scholarship generated from within its host institution, a core value at the heart of the mission of most university presses. The partnership also allows the press to experiment with journal publishing without the additional burden of offering subscriptions and sales services. A partnership between the SU Libraries and SU Press to offer quality digital publishing services to faculty seemed natural, as both are charged with making available the intellectual output of scholars. The relationship also enables SU Press to take advantage of the SU Libraries’ infrastructure and resources to contain costs.
Under the new partnership model, the SU Libraries provide more sustainable professional publishing services, including technical guidance and support; server space and administration; training and demonstration; digital preservation; E-ISSN application; DOI assignment; metadata consultation, abstracting/indexing services; editorial consulting, professional copyediting; and some design services. Together, building on the ITS infrastructure, the two entities offer a unique suite of scholarly communication services and support for SU faculty, staff, and students in response to the evolving needs of our research community.

The collaborative nature of this undertaking requires clearly defined roles, responsibilities, and expectations. The roles and responsibilities are determined by a combination of project stakeholder input, available expertise, staff capacity, funding, and other specifications dictated by each journal’s memorandum of understanding (MOU). Start-up costs are an important consideration, whether in real dollars (for server space, DOI registration, design consultation, Web programming, and editorial expertise) or in-kind staff time.

The roles and responsibilities are determined by a combination of project stakeholder input, available expertise, staff capacity, funding, and other specifications dictated by each journal’s memorandum of understanding.

In our pilot phase, the roles are filled by staff from the campus and library IT, SU Press, and faculty departments. The OJS implementation process begins with software installation, server administration, and journal configuration. Campus ITS provides server space for each OJS journal and brings expertise to the interface development effort, while the library is responsible for software installation, server administration, full back-end configuration and minimal front-end customization, metadata consultation, and software training for faculty editors and SU Press staff. Once the software foundation is established, several workstreams emerge—technical, content, policy and procedural, editorial, and author support. SU Press staff has met regularly with the journals’ faculty editors to advise on forming editorial boards, writing editorial policies, determining peer review procedures, and designing the look and feel of the journals. Professional copyediting and content layout will be managed by SU Press’s editorial and production department. The workstreams are sometimes parallel, sometimes dependent, but all overlap at various points in the process and ultimately contribute to and follow a shared and sometimes complex timeline.

The following functional roles are represented in our pilot project and it is common for one stakeholder to assume several roles. Roles marked with an asterisk use OJS terminology to describe traditional responsibilities as well as elements specific to OJS software such as
workflow and system permission levels. This list could be used as a starting point for similar undertakings.

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<th>Functional Roles</th>
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<td>Project Managers</td>
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<td>IT Analysts</td>
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<td>Designers (logo, brand, interface)</td>
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<td>Metadata Librarian</td>
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<td>Policy Makers</td>
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<td>Copyright Consultants</td>
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<td>OJS Site Administrator*</td>
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<td>OJS Journal Managers*</td>
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As we researched and developed services and software options, we identified specific stakeholder considerations in order to select the most appropriate platform for a given publishing scenario. Additionally, any resources faculty editors and other requestors bring to bear and their desired level of involvement in the process (as compared with a singular focus on the content) significantly impact the project direction. The capabilities and strengths of each system (OJS and Digital Commons) coupled with faculty needs and resources inform our workflows and the shape of our overall service model. As we investigate, test, and develop a sustainable suite of services, we find that a combination of priorities and other factors help us
to decide which platform to use for a given publishing project. The following questions assist in the articulation of requestor needs, priorities, and expectations:

- Is the journal new/born-digital or print-to-online?
- What is the timeline to launch?
- Will it be OA, delayed OA, or subscription?
- Are there dedicated staff/students available and at what time allocation?
- What staff expertise (e.g., editorial, design, technical) exists?
- Is there available funding and at what funding level?
- Does the journal require a personalized domain?
- Are there specific authentication needs (e.g., LDAP, Shibboleth, local, other)?
- Will the journal require an ISSN application/DOI assignment?
- What are the editorial, copyediting, and layout needs?
- What are the design and interface requirements? Does a logo, color scheme, or brand already exist?
- What are the file type requirements and support for ingest and output?
- What level of metadata consultation and creation is needed?
- What are the indexing requirements—OA, proprietary, or both?
- What kind of statistics/reporting options are desired?
- Are there additional tools and functionality needs, such as integrating a blog, wiki, user comments, tagging, etc.?
- What level and frequency of training is required?
- What level of technical support is required?

OJS was the right choice for this pilot program because of the sophisticated design requirements and user interface customization needs of one journal, including data extraction and manipulation, and because both journals would incorporate multimedia content.

**Discussion**

The library-press partnership has successfully helped our faculty to develop two OA journals and has allowed the SU Libraries to introduce enhanced publishing services to the campus community. The new service model has enabled us to overcome cost constraints on the number of journals we can publish and the customizations we can apply to the journal site, thereby better supporting faculty publishing needs. As our publishing services grow and mature, however, the need to discuss and develop a plan for sustaining these services increases. Possible approaches would include seeking new sources of funding to supplement the library’s subsidy from our host institution, and developing fee-based service models for each journal.
client. In order to justify a growing allocation of library resources to publishing services, the library must demonstrate the academic value of these services.

Fee-based service models can be developed in different ways. A tiered services menu, such as that used by Columbia University’s Center for Digital Research and Scholarship (CDRS), could be implemented, and related costs could be shared with departments. Offering print-on-demand services could also be a possible channel for generating revenue. According to Mullins (2012), another possibility for a fee-based service model is to extend library service offerings beyond core campus constituencies—for example, providing publishing services to society-sponsored journals not affiliated with the institution, as in the case of Project Muse.

The demand from faculty and other campus constituencies for OA publishing outlets will only increase, and libraries must find efficient and cost-effective ways to meet those needs by drawing on existing resources, leveraging new and open source technologies, and forming collegial and reciprocal campus partnerships that will broaden the scope and improve the quality of its services. By using new technologies to make scholarship available to a wider audience, and by implementing and maintaining platforms for the open dissemination of peer-reviewed and carefully edited content, this collaboration between SU Library and SU Press advances scholarly communication and furthers Syracuse University’s mission of “Scholarship in Action.”

References


In order to have success in launching a new open access (OA) journal, careful planning is critical. Following a certain sequence of steps and establishing a framework will facilitate a final publication that is both sustainable and beneficial to its discipline.

The first step in launching a new OA journal is to develop a publication strategy that maps the foundation and development of the publication. The successful publication strategy requires a detailed analysis of how the journal will be launched: governance structure, financing, target audience, marketing, peer review, design/layout, timeline for publication, etc. The investigation of these issues will provide a framework for all future steps necessary to launch a journal. The strategy should be considered a living
document that can be amended over time and should include pre-production and launch preparation stages.

Pre-Production Stage

The Name of the Journal

The title should give a clear identity to the type of articles that will appear in the publication. Also consider how people will abbreviate your journal. Try to avoid abbreviation combinations that are hard to remember or spell a word that you don’t want associated with your journal. If careful thought is given to the title at the beginning stage, you can avoid the need to rebrand your journal at a later date, which is expensive and can be perceived negatively (Huggett, 2011).

Rationale for a New Publication

The reason why a new journal is needed is an important question that needs to be well defined and communicated to your intended audience. This is the foundation and justification for your journal and should address current and future trends in your discipline, examine existing journals and explain how yours will be different, and portray confidence that you can garner high-quality submissions and a large and sustainable audience. The development of a concise rationale will assist in the development of the journal’s scope and recruitment of an editorial board.

The reason why a new journal is needed is an important question that needs to be well defined and communicated to your intended audience.

The Scope of the Journal

Publishing the scope of your journal in a prominent location on your website is essential. The scope should communicate the goals and content of the publication. It should be considered a marketing message for readers who, after reading the scope, will want to click further into the journal. A well-defined scope will also engage authors to consider submitting an article. The scope of the journal should specify that it is an OA publication and should include a complete list of articles the journal will consider publishing (e.g., original articles, book reviews, review articles, letter to the editors, etc.) (CoAction Publishing, 2010).

Journal Governance Structure

The governance structure typically has an appointed editor-in-chief, who is the publication’s final voice on operations and policies. Additionally, the editor-in-chief is responsible for

developing an editorial board, contributing editorial pieces, marketing, and is the final say on the publication of each article.

The managing editor represents the journal to external entities, including associations, societies, academic institutions, and authors. Managing editors assume responsibility for publishing high-quality material, which is vetted through the journal’s review system, and for managing the workflow of articles from submission to publication.

Peer reviewers provide constructive feedback to authors regarding publication and research standards as they pertain to article submissions.

Graphic designers are responsible for the layout and design of the journal cover and layout of articles for publication.

Editors are responsible for copyediting articles as necessary.

**Creation of an Editorial Board**

Selection of the editorial board members plays a significant part in establishing/enhancing the reputation of your journal. The editor-in-chief should strive to recruit well-known, respected, and international members of the scholarly community who have published in a field related to the scope of the journal. The editorial board is responsible for garnering content, marketing, and developing a vision for the publication.
Peer-Review Workflow

Peer review is the traditional assessment method of manuscripts submitted for publication in journals (Grant, 2010). It is also the biggest challenge to the timely publication of a journal. The editor-in-chief is responsible for the formation of a peer-review board. This board usually consists of published experts in the field of the journal’s scope. These individuals agree to review submitted articles (typically two articles a year) in exchange for being recognized by the journal as a reviewer. The reviewers are given a deadline (typically four weeks) to review the submission and provide feedback to the managing editor regarding whether to accept, accept with changes, or reject the submission. Two or three reviewers should review each article. The managing editor is responsible for merging the comments from all of the reviewers and forwarding them to the editor-in-chief for final judgment. The judgment should be forwarded to the author who, depending on the verdict, will make revisions before publication. If the paper is not accepted, the author is free to submit his/her paper to another journal. It should be mentioned that peer review will not determine if an article’s finding are accurate—it simply determines if the process that lead to the paper’s findings were done correctly (Grant, 2010).

This peer-review workflow is littered with time-sucking landmines that cause numerous delays and gray hairs for managing editors everywhere. The problem is that peer reviewers, through no fault of their own, insert an element of unpredictability into your timeline. Peer reviewers are often sent articles six months to a year after they agree to provide their service. Schedules, jobs, and available free time can change in that time period. As a result, deadlines...
for article review are missed or ignored altogether. Finding enough reviewers to vet an article can be a challenge. Consider asking authors from journals with a similar scope or searching on Google Scholar for authors who have published on a similar topic.

...peer reviewers, through no fault of their own, insert an element of unpredictability into your timeline.

Also, because multimedia files are also becoming more popular in journals, managing editors should consider developing guidelines for the review of supplemental multimedia files and an effective system to disseminate these files to reviewers.

**Timeline for Publication and a Commitment to Publish**

The time commitment for the first issue is far greater than post-inaugural issues due to the administrative groundwork necessary for the inaugural issue. To minimize stress, place a liberal timeline for publication.

**Journal Management Software**

*Open Journal Systems* (OJS) is an effective open source journal management publishing system. This system, once installed on your server, provides a full-service journal management and website creation system that makes the dissemination of a journal easy and free. The only fee you will incur is the cost of hosting the site. A list of free/open source journal management systems can be found at [http://oad.simmons.edu/oadwiki/Free_and_open-source_journal_management_software](http://oad.simmons.edu/oadwiki/Free_and_open-source_journal_management_software).

**Archival**

It’s important to develop an archiving system/policy to ensure that your content is maintained in a sustainable environment. OJS creates archived issues of your journal but should not be confused with archival-quality backups. An example of a suitable archiving system would be an institutional repository similar to DSpace or Digital Commons.

**Launch Preparation Stage**

With the groundwork finished, you can begin the launch preparation stage, which consists of designing a cover for your journal, applying for an ISSN, developing a layout style for your journal articles, setting a launch date and timeline for publication, issuing a call for papers (CFP), garnering content for your journal, testing all aspects of your website, and launching and marketing your journal.
Cover Design

Some people might think that designing a cover for a journal that hasn’t launched yet is like putting the cart before the horse. However, designing a cover and placing the cover on a website is the precursor to obtaining an ISSN.

Obtaining an ISSN

The ISSN can be thought of as the Social Security number of the serials world. Allow two weeks for your application\(^1\) to be processed. The URL of the journal and a mockup of the cover help to expedite the process. If you are using a journal management system, at some point you will be asked to enter the name of the journal and its desired abbreviation. This will allow the software to create a URL for the journal’s home page.

Layout and Design of Articles

Before you begin the layout process of the journal articles, it’s important to develop a submission guideline for authors. This guideline should define the look and specifications of every element in the publication (from abstract to references). It is also extremely helpful to prepare a downloadable template that authors can employ to easily format their manuscript. Topics addressed in the guideline will vary from journal to journal. The sample on the following page is of an author guideline page created for the Journal of Applied Science & Engineering Technology (JASET).

\(^1\) http://www.loc.gov/issn/form/
### Sample Author Guidelines for the *Journal of Applied Science & Engineering Technology* (JASET)

<table>
<thead>
<tr>
<th><strong>Author and affiliations</strong></th>
<th>(Added after blind review)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Abstract</strong></td>
<td>Limit length to 400 words. Define all symbols used in abstract.</td>
</tr>
</tbody>
</table>
| **Introduction**           | 1. When you open the Template.doc, please ensure that the Formatting Toolbar is visible: To activate it, go to the Microsoft Word View Menu and select the Toolbars’ Formatting and Task Pane if it is available in your Windows application.  
2. Type over sections of Template.doc or cut and paste from another document and then use markup styles. Markup styles may be accessed in the Task Pane, by selecting “Show: Available Styles” from a dropdown menu. The styles may also be accessed from the dropdown menu in the Formatting Toolbar (e.g., the style at this point in the document is “Numbered List”).  
3. Highlight a section of your text that you want to designate with a certain style and then select the appropriate name on the style menu. The style will adjust your fonts and line spacing.  
4. The number of pages must be between 5–10 correctly formatted pages including all tables, figures, references, and author biographies, which are only added after the paper is “accepted pending revisions.” Do not change the font sizes or line spacing to squeeze more text into a limited number of pages.  
5. Use italics for emphasis; do not underline.  
6. To insert images in Word, position the cursor at the insertion point and either use Insert | Picture | From File or copy the image to the Windows clipboard and then Edit | Paste Special | Picture (with “Float over text” unchecked).  
7. We expect authors to format their papers according to these guidelines. |

### PROCEDURE FOR PAPER SUBMISSION

| **Review stage** | Please submit your manuscript electronically for review. Follow the submission instructions located on the article submission page. |
| Final stage | 1. Please submit your final manuscript electronically as a “revision” (this maintains the manuscript number and ongoing revision history) after your paper has been accepted and corrections have been addressed.  
2. The author who submits the manuscript will be the “corresponding author.” This is the author to whom proofs of the paper will be sent. Proofs are sent to the corresponding author only. |
| Copyright form | Authors are responsible for obtaining any necessary copyright permissions (located on the Article Submission page). |
| Figures | For consistency when preparing tables and figures, use a sans serif font such as “Arial” or “Helvetica.” RIT cannot extract the tables and figures embedded in your Microsoft Word document. (The figures and tables you insert in your document are only to help you gauge the size of your paper, for the convenience of the referees, and to make it easy for you to distribute preprints.) Therefore, submit in separate files, tables, graphs, and image files, using the naming conventions as follows in Section E, “Electronic Image Files.” |
| Electronic image files | The figures in your paper should be ready for print. Please submit graphic files in the following formats: JPEG, TIFF, PDF, Excel. Use a separate file for each image. File names should be of the form “fig2.pdf,” etc. Files should be sized at the intended size of reproduction, or at least 5 inches wide, to maintain optimal readability and resolution.  
1. Line figures and tables: Using a scanner, save the images in TIFF format. High-contrast line figures and tables should be prepared with 1200 dpi resolution and saved with no compression, 1 bit per pixel (monochrome), with file names of the form “fig3.tif” or “table1.tif.”  
2. Photographs and grayscale figures: Images should be prepared with 300 dpi resolution and saved with no compression, 8 bits per pixel (grayscale).  
Color figures | Color images should be prepared with 400 dpi resolution and saved with no compression, 8 bits per pixel (palette or 256 color). |

The JASET Guidelines continue and address figures and tables, footnotes, abbreviation and acronyms, common mistakes, editorial policy, publication principles, and helpful hints. You can customize your guidelines to your journal’s specifications. Consider it a living document and update it as needed.

http://library.rit.edu/oajournals/index.php/jaset/about/submissions#authorGuidelines

The Faculty-Led, Library-Supported Journal

The use of a template does not guarantee that the submitted articles will be formatted correctly. It is the managing editor’s job to thoroughly examine each article and make corrections. Another option is to bring the skills of a graphic designer into the process. A skilled graphic designer can lay out a typical journal article in about three to four hours.

**Set a Launch Date and Timeline for Publication**

Setting a launch date is not as easy as it sounds. You need to garner content for your journal and factor time for peer review, revisions, final layout, final proof for authors, and launch. The timeline for launching a journal might look something like this:

<table>
<thead>
<tr>
<th>Activity</th>
<th>Timeframe</th>
</tr>
</thead>
<tbody>
<tr>
<td>Call for papers</td>
<td>Allow three months for articles to come in (this time will be reduced as the journal gets traction with readers).</td>
</tr>
<tr>
<td>Peer review</td>
<td>Allow four weeks for reviewers to return articles (three weeks to procrastinate and one week to review).</td>
</tr>
<tr>
<td>Author response/edits to reviewer comments</td>
<td>One week for authors to address the concerns of the reviewers.</td>
</tr>
<tr>
<td>Final review of accepted papers by editor-in-chief</td>
<td>One week</td>
</tr>
<tr>
<td>Formatting and page layout</td>
<td>One week</td>
</tr>
<tr>
<td>Author’s final review of formatted article</td>
<td>Two days</td>
</tr>
<tr>
<td>Total</td>
<td>Approximately five months</td>
</tr>
</tbody>
</table>

**Disseminate a Call for Papers (CFP)**

The CFP should explain the focus of the issue and provide a link to the journal and a deadline for submissions. Your CFP should be disseminated to all conferences and seminars with common topics. Additionally, you should ask any trade societies to post your CFP on their website. Upload your CFP to PapersInvited³ and WikiCFP⁴.

**Garner Content**

Posting a CFP for an inaugural issue should be considered a marketing exercise. The CFP will not garner enough content to publish a journal. Scholars are reluctant to publish in new journals due to the risk of a low impact factor. Your CFP might result in a few submissions, but that is about all you can hope. In general, a CFP will only be effective after the second issue is published. Authors typically need to see a commitment to regular publishing and publishing standards before submitting to your journal.

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³ [http://www.papersinvited.com](http://www.papersinvited.com)
The content for the first two issues will come from your editorial board. It should be a condition that anyone who agrees to serve on the board will be responsible for supplying two articles for publication. Preferably, the board members will agree to author one or both of the articles, but the content can also come from the board members’ network of peers.

**Test All Aspects of Your Website**

Simultaneously with issuing your CFP, you need to test the website to ensure that the submission process goes smoothly. You want to confirm that automated e-mails are generated by the content management system and are worded correctly.

**Launching and Marketing for the Journal**

After you have the content and it has gone through the review, approval, and design process, you are ready to launch the journal on the Web. It’s a good idea to have a number of copies printed to send to submitting authors and to use as marketing pieces at conferences.

Having your journal published on the Web is not enough to ensure that readers and potential authors will find it. A multifaceted marketing strategy that incorporates print, social media, and word of mouth works best. A press release should go out one week before the launch of the journal and should target trade publications and local media. Establish a Facebook page for your journal and post on it at least once a week. Design postcards with your next CFP on it and hand them out at conventions and seminars. Finally, talk about the journal to anyone who might be interested in the topic of the publication.

**References**


