A Planning Perspective for Library Journal Publishing Services

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Introduction

During a presentation at the University of Maryland, Sayeed Choudhury noted that "the line between research, learning and dissemination is blurring – or [that] has always been the case and we're only returning to the original vision of higher education." (Choudhury, 2005.) Scholarly publishing is a critical element of that dissemination of knowledge, and as the mechanics of publishing become easier to manage through technology, libraries can be intentional about the extent to which they are engaged in providing publishing services. As active participants in multiple facets of the culture of scholarship, libraries are in an excellent position to understand and bring a creative service perspective to the business of publishing. At Penn State we have had consistent and growing interest in contributing to many different aspects of publishing and dissemination including the development of a content repository (ScholarSphere), the expansion of educational programs on commonly available publishing platforms, dynamic and growing activity in scholarly journal publishing at the Penn State Press, and the support of an increasing number and variety of conference proceedings and student work. Our latest effort in contributing to the publishing and dissemination of scholarly work, and the focus of this article, has been in planning processes in the Libraries to support scholarly journal publishing through hosting and complementary value-added services.

The Publishing Environment at Penn State

Like many comparable libraries, Penn State has been involved in using and producing digitized information for decades. We were early adopters of CONTENTdm for publishing of both text and image collections, and are using the Olive interface for digitized newspapers. The Penn State Press was one of the first university presses to be directly aligned with an institution's library, and since 2005, the Press has reported to the Dean of University Libraries and Scholarly Communications. This thoughtful recognition of our common scholarly objectives has resulted in additional opportunities to collaborate. One project the Libraries and the Press took on was DPubS, a five year collaboration initiated by Cornell University that envisioned an open source platform to support digital publication; it was described at the time as "an open-source software system designed to enable the organization, presentation, and delivery of scholarly journals, monographs, conference proceedings, and other common and evolving means of academic discourse." (DPubS, 2008) Our experience with DPubS pinpointed practical use cases for publishing software as well as gave us experience with identifying editorial management features that journal editors would consider crucial.

The Press itself has pursued an energetic agenda toward supporting journal scholarship in the social sciences and humanities, and over the past several years they have begun using the Aries Systems' Editorial Manager publishing platform and expanded their journal list from about 12 to over 30 academic journals; noteworthy titles include *Mediterranean Studies* and the *Steinbeck Review*.

Our next library foray into digital publishing came as a result of a faculty member's request to support publication of the annual conference proceedings of the WEPAN professional organization (Women in Engineering ProActive Network.) Thus began our investigation of the PKP Project's open source publishing alternatives, and after using Open Conference Systems for several years, we felt confident that we were making the right choice in adopting Open Journal Systems (OJS) as our journal publishing platform. We were at a true decision point since DPubS was no longer being actively developed as an open source publishing tool and we had to find an alternative to provide access to three primary journals in Pennsylvania history that were already in our collection. Following a successful migration of the earlier issues from DPubS, we have succeeded in adding additional technology support for the initiative and are poised to market an expanded publishing service within the University Libraries.

Development of Draft Service Tiers & Use Cases for Journal Publishing
Since the Press was equipped to handle publication of journals that had content meeting their objectives, and often a strong financial base, Publishing & Curation Services began to identify alternative customers in need of publishing and editorial support; our target audiences included outlets for student scholarship, faculty wishing to start new topical journals who were strong on ideas and "sweat equity" but lacked significant funding, and individuals representing scholarly associations or other groups who wanted to move into e-publishing and had more staff or volunteer time than money to invest in making the leap. We are receptive to supporting student publications, peer reviewed journals, newsletters, society journals, and other types of scholarly work, and are continually investigating ways to fill needs for publishing formats that go beyond text and images.

Our service tiers first began to take shape during the preliminary planning for the ScholarSphere repository. At the time, we had a number of migration decisions to consider and also felt the need to investigate future publishing opportunities in general; these included formats such as student scholarship that didn't fit into the formal University definition (e.g. theses, capstone projects, etc.); other forms of gray literature; and data sets. We were particularly interested in defining the most basic services and technology requirements at this stage, and Figure 1 illustrates our initial reflections on what would later become a more formal representation of our requirements for launching a journal publishing venture.

Figure 1:

Early-Phase Journal Service Planning Document (2011-12)
Publishing & Curation Services, Penn State University

Note: this is a sample of the way we collected and codified requirements with our internal collaborators and with subject liaisons during brainstorming activities.

Tiers of service by project category --->	Journal publishing capabilities

Tier 0 – Self Help – Consultation Level (Any Publishing Method)	
Appropriate for:	People exploring options who need ideas
Our roles & responsibilities	-Consultation -Explanatory web info -Share information about options (Penn State Press, WordPress, OJS, Omeka, etc.)
Customer roles & responsibilities	Bring examples of content. Describe end product & functionality desired
Needed to implement	Documentation for self help Orientation/instruction/ promotion plan
Tier 1 – Base Level: Customer Does Most of the Work – OJS Platform	
Appropriate for:	People with time resources (e.g. editorial assistance) and willingness to learn & accept platform workflows without much of our involvement beyond training
Concept	Simplest: provide service to mount and store journal PDFs, generally OJS ingest. Provide for accessibility option (required if material becomes part of PSU collection) -Uncomplicated ingest of PDFs and simple linking to full issues; acceptance, editing, formatting probably handled by other means (e.g. email acceptance) -We reserve decision to link to issues as part of library collection, or not. - might be irregularly published, more ephemeral, back issues of a ceased publication, etc.
Audience	Penn State faculty, staff, students
Our roles & responsibilities	Provide server space & archiving. [development & production levels? For what time period?] Basic training OJS. Basic template for journal. Service agreement, including responsibilities & expectations for workflow, search/display, etc. Basic training in our metadata requirements. We serve as administrator and push the "publish" button Assessment.
In-house expertise needs	High level of experience with OJS. Internal administrator for site setup. Ingest assistance. Documentation expertise, both for systems and clients. Etc…..
Customer roles & responsibilities	Content acceptance. Editorial responsibility.
Required features list in place	Gathered and negotiated with user; if anything beyond the basic template, may become a Tier 2 or 3.
Needed to implement	Defined by service agreement.
Consultation support (helpdesk, self-help documentation)	Yes
User prepares material	Provide a standard template. (e.g. metadata creation according to established requirements)
User loads material (enable single and batch)	Yes, use of OJS interface
User interface for search/display	Yes, use OJS search and full text plugin.
User can access basic statistics independently	No Analytics about use – e.g. # of many downloads, where
Handle (persistent URI) for object	Yes
Versioning	Probably
Retention & preservation appropriate to content	Yes Policy decision needed as part of user agreement
Acceptance of compound object	Yes

Is item/collection Open Access?	Decision is part of agreement. We might only accept open access projects as a matter of policy.
Acceptance/Copyright statement	Yes Creative commons licenses being used by ScholarSphere.
Access basics (citation guidance, downloadable/formats, persistent URI, full-text search)	Yes
Service level agreement	Internal.
Subscription	No
Limits	Depends on platform choice – e.g. possible limit on storage space allocated
	Article review, editing, formatting done by user pre-ingest
File type restrictions	PDF standard but other alternative needed for accessibility
Use Case(s)	Student-sponsored journals
Tier 2 – Intermediate – Responsibilities Negotiated – OJS Platform	
Appropriate for:	"Quality" journals not appropriate for the Press (lack of funding, topical areas not appropriate, etc.) People with both financial and human/time resources.
Concept:	We provide more customized support to build long-term relationship with a journal.
Audience:	Penn State faculty, staff, students. Could also be professional associations or equivalent.
Our roles and responsibilities	Basic template for journal. Service agreement, including responsibilities & expectations for workflow, search/display, etc. More intensive training in OJS, how to use forums for information, etc. Basic training in our metadata requirements. We serve as administrator and push the "publish" button Assessment. Server space for development, production.
Needed to implement	User agreement. Staff for training, consultation & followup.
In-house expertise needs	Ability to understand & modify OJS coding & PHP
Additional storage space allocated = larger size project	Yes
Additional consultation services – in person, coll. analysis, etc.	Yes We serve as administrator (responsibility for continuing maintenance, esp. for setting up current issue contents that appear on homepage.) Basic level assistance with html coding, simple changing the look and feel beyond the templates supplied by OJS (e.g. changing the size of a banner logo.) Have to be careful here – expectations & stop points would be hard to establish.
UI templates	Yes within software
Level of access permits restriction	Yes
Permanent URI	Yes
Access to software/file systems	Use of journal publishing software for deposit of final copy and journal UI templates
Editorial responsibility	Self-collection of submissions, review, editorial, formatting
Any file types restricted?	TBD in service agreement
Use Case	New interdisciplinary journal proposed by a faculty member.
Tier 3 – Extensive: We Provide a 'Full Service'	
Appropriate for	Long term relationships.

	Partnerships. Significant content. Customers who might pay for customized service if we decide we must recover some costs.
Concept	Full use of journal publishing software for manuscript submission, peer review, editorial process, formatting, publishing, UI templates. Will generally be a complex project with a high degree of functionality expected. Large amounts of data. Possible use of multiple platform(s) to create. Special features (e.g. logins, web development beyond established templates, etc.) High level of staff expertise, often provided by multiple depts.
Our roles and responsibilities	Management of a complex project. Preservation & migration. Service agreement. Assistance from library for inclusion in subject indexing services. Metadata expertise. Possible customization of interface.
Customer roles and responsibilities	Content. Editorial responsibility for concept, peer review, etc. Project contact(s) with knowledge and time to work through implementation process with us, authority to make decisions, ability to support the project effectively from customer side
Needed to implement	Experience with tiers 1 & 2. Support for offering this level of service within Libraries. Decision on whether free or fee.
Contextualization of content (e.g. web portal development)	Yes
Custom UI	Yes, including design, maintenance of code changes.
Unique domain name available	Possibly
Subscription option?	Possibly, but not in initial implementations.
Other features	Preservation. Data migration guaranteed if needed in future.
Use Cases	Established student publication that needs a permanent home & archiving. Faculty collaborative that has a journal to publish that would be part of a more extensive web presence.

The process of developing the service tiers for journal publishing began with a thorough review of OJS's documentation and extensive user forums to fully understand its capabilities and limitations. OJS has a robust and detailed set of user documents which lay out a clear workflow for the platform's use; and by observing the service tier structures of other established library publishing programs, we were able to create a solid base structure that was practical for our current publishing environment. We are especially indebted to the University of Pittsburgh Libraries Office of Scholarly Communication and Publishing for their willingness to share their service structure plan and experiences with us s as early adopters of OJS.

From this base service tier structure, we have been working toward a more refined plan for services which aligns with potential use cases and takes into account our available resources. In determining probable use cases, we sought out potential users and were rewarded with valuable feedback, including uses that we had not previously considered. To acquire a realistic set of expectations of the resources available to our journal publishing program, we collaborated with the Libraries' technology department and the Libraries' administration to discuss feasible service options. Equipped with a thorough understanding of our publishing environment and current resources, we were able to design our current service structure.

Practical Use of OJS in the Publishing Process

The result of our preparation and planning is a service tier structure which includes three levels of service. All three service tiers offer the full capacity and functionality of OJS with value-added services differentiating the tiers. We may, in the future, decide to add to the services within the tiers, or to add new tiers as resources become available and as the need for additional services become apparent. Roles in each of the service levels will be laid out in detail in a service agreement with each journal hosted by the University Libraries. As stated previously, our "tiers of service" structure has been informed by the services developed at the University of Pittsburgh and other libraries with established OJS publishing programs. Worthy of special mention in addition are the tiers developed by Columbia University's Center for Digital Research and Scholarship (3) and the summary information from the e-Scholarship service at the California Digital Library.(4)

Our first service tier is the most basic and is suitable for a variety of users and content. Potential use cases include groups or individuals who wish to use OJS in a workflow capacity without actually publishing through OJS, and journals that do not meet the established standards for library endorsement. This service tier provides editors with an OJS journal on one of the shared OJS installations, some preliminary training and assistance for the journal manager, and some technical assistance throughout the process. At this first service level, several journals share a single OJS installation; however, the editors of a journal do not have access to the other journal's management systems. In this first service tier, we are, in essence, just acting as a host for the platform and providing minimal support.

The mid-level service tier also provides editors with an OJS journal template; however, the journal is hosted on its own server installation of OJS to provide some extra security and service options. This service level is suitable for hosting copies of established journals which have a large archive and a possibly moving wall or embargo period for open access availability. For example, we have three well-established journals focusing on Pennsylvania history that we host on OJS. In this use case we act in a repository capacity only, and all of the editorial work for a journal is accomplished outside of the OJS installation. We receive the finished journal issue from the publisher and then use OJS purely for organizing and providing access to the journal issues. There are also some value-added services that may be provided within this service tier: publicizing and promoting the journal and, in some cases, retrospective digitization of back issues. The types and levels of services will be determined on a case-by-case basis with consideration of the journal's significance and available resources from the library and the participants.

Our third tier of service is the most comprehensive and, as with the second service tier, provides editors with a journal on its own installation of OJS. This service tier will mostly be practical for new journals which meet the set criteria for the library's full endorsement. We anticipate these journal requests will undergo a review by a journal review panel, where it is evaluated on criteria such as its peer review process, longevity planning, and other considerations. Value-added services at this service level could be: ISSN acquisition, thorough training and ongoing assistance for the journal manager, workflow planning consultations, policy planning consultations, appearance and functionality customizations, and publicizing the journal re extensively in appropriate field-specific indexes and other lists. In this service tier we will take the most active role in supporting the journal and working toward its success.

Importance of the Data Gathering and Consultation Process

While some interested editors have journal publishing or editorial experience, we have found that many do not, although they often have experience using online systems from the "submission" end. Most so far have come to us because they have a pre-existing print journal that needs a digital presence, or because a scholar has recognized a deficiency in the literature and is proposing something entirely new. We provide one or more initial consultations to get a good understanding of the content and expectations in each case, and whether it will be a good match for our OJS-based journal publishing program, or if another alternative needs to be considered. For a new journal, an editor may clearly want to develop a peer-reviewed product but has not considered the importance of establishing an editorial board early in the process. For a student journal, one task is to have the proposer think about how the journal will be maintained as the journal's student editors graduate and move on.

For an existing journal, the editors will already have an active workflow and personnel that will need to be accommodated and there are many decisions to be made. For example, what features of the current publishing environment need to be maintained? Will there be retrospective digitization of issues? Is the journal going to be open access? If peer reviewed, how will they handle the transition for their editors and reviewers? See Appendix 2 for our current online submission form for potential collaborators.

Takeaways/Lessons Learned
- Project management and "emotional intelligence" skills are critical. In the process of initiating a journal publishing service we have evaluated software publishing programs and platforms, migrated data from one platform to another, created timelines, developed and negotiated service agreements, and overcome some potential disadvantages of our decentralized structure, where people reporting to different units must come together to create and manage workflow (this includes technology, metadata, digitization, etc.).

- Make sure you have a good chance for potential audience of adopters before you commit the time to developing and resourcing a full program of journal publishing. An environmental scan is essential to find out who might be potential users, what the competition is, and what scholars' expectations are. Assess your available resources realistically. Do you have the technical support (and server space) needed? Will there be a need for other assistance, including design or in the case of OJS, modification of code to meet a requester's needs?

- Don't underestimate the time it will take to produce the first several journals. The process can become routine, but before that there are a lot of practical questions to be dealt with. We definitely underestimated the number of decision points and details involved in launching a new service.

- Carefully consider what your overall policies will be. Will you only accept open access or are you willing to support subscription and other models? Do you need to charge for some/all services or can you offer freely?

- Recognize the importance of the appearance of the journal and the ease of navigating the interface. Requesters want something that is clearly professional and has an appearance that identifies the product. They will also want to take advantage of things like full text searching.

- Expect to offer publishing alternatives. Not every request will be fulfilled by the features of a single platform or workflow template. For example, OJS has a very specific architecture and process to be followed and may actually be too intricate for some projects that might just need a simple WordPress installation.

- The importance of managing stakeholder (especially scholar/editor) relations is a really critical element of success. The publishing experience and knowledge of scholars/editors of a proposed publication can vary greatly from one individual to another, and our approach to service must conform to their relational style and level of publishing *savoir faire*. In our experience, we have encountered situations that range from a researcher who simply wanted suggested solutions to a publishing problem in order to tackle the issue themselves, to presenting solutions for a problem and providing extensive support to the new editor(s) through each step of the process. In all cases, there are some basic considerations which we have found do promote success in working with scholars, editors and stakeholders throughout the stages of a publishing project, both for supporting journal requests and in other types of collaborative publishing.

    - ✓ Clearly define roles for each party involved in the process as early in a project as possible. It may not be necessary in every context to create written contracts establishing precisely what services and roles the library will play in a particular project, but it is important to, at least, verbally agree on what each party's role and responsibilities are. Doing so allows the library to avoid overextending its resources and staff time and avoid being drawn into roles for which it is not well suited. Establishing clear roles and responsibilities also helps to foster healthy expectations on the part of the researcher, reducing the occurrence of misunderstandings about results, timeframes, and stakeholder involvement.

    - ✓ Be prepared to be the project manager and guide requesters through the initial planning and idea-formation stages of publishing projects. Ultimately, it is the responsibility of the researcher to make the vital decisions about their publication; however, librarians can often help researchers avoid pitfalls. Some examples of assistance that can be offered include scaling initial ideas into a realistic and feasible project, separating the project into achievable phases, and identifying required resources and partners. Compiling a list of useful resources, technologies, and contacts can significantly improve the ability of librarians to assist researchers in successfully completing publishing projects. In regard to journal development specifically, it is important to ensure that scholar/editors have considered all of the important initial planning decisions such as editorial policies and workflow structures before undertaking a new journal start-up.

    - ✓ Be willing and equipped to assist researchers in preparing and organizing their content. We have found this to be particularly true when the journal is part of someone's larger "vision," for example developing a knowledge portal in a particular field. While researchers are experts in a particular discipline, they may not fully comprehend what is indispensable in preparing journal articles for publication. The proper submission format, organization, clean-up, and conversion of content can be extremely important to a publication's success. This

is especially relevant in the case of online media, where publishing conventions are not as established as in print media. Ensuring that materials are properly prepared can guarantee that they are optimized for discovery, conform to accessibility standards, are compatible with industry and field-related conventions and expectations, and can facilitate ease-of-use for end users.

✓ Do not underestimate the critical nature of continuing, effective communication with the project proposers, as well as the importance of assuming a role which provides support and advocacy for them in relation to other project stakeholders. In our environment, often publishing projects are only one of many initiatives competing for time and attention. Supporting a scholar's "vision" and the expectations in the service agreement are important; also critical is facilitating successful communication between scholars and other stakeholders including programmers and web developers. In the project development states, the advocacy and support role often includes providing reassurance when there are project challenges and setbacks, as well as encouraging progress and efficiency on the part of the researcher and the technology team.

Conclusion

Though still in the early stages of implementation, we can confirm that "the library as publisher" is both desirable and inevitable, a creative element of the expanding service roles that libraries are embracing to support their users' scholarship. By coming a little "late to the game," we have benefited from advice from other libraries that are more established in their publishing practices. We recognize our library publishing journey is really just beginning and next steps will include both business and longer-range strategic planning modeling for our services.

Appendix 1

Sample Consultation Script: Following Up on a Journal Inquiry

Suggestions for Data Collectors: it's desirable to get some information in advance of an initial meeting/consultation, since it helps to guide the conversation for the requester be thinking about these issues beforehand. Most potential editors won't have thought all of them through, or have immediate answers to everything so it's an iterative process.

If a new journal, ask editor(s) to respond to whichever questions are relevant to the situation:
- Concept – proposed startup, frequency of issue publication.
- What do you picture the journal looking like in its first year? In 5 years? (number of pages, appearance, text searchable at article level, peer reviewed, etc.)
- Goals for the journal – what needs does it fill & will it have a built-in audience or require more attention to marketing?
- Are there competitors for this "topical space"?
- Characterize the audience you would want to reach.
- Who "owns" this journal and can make decisions for it and sign agreements?
- Expected content. [Do you already have submitted content?]

--Is it mostly text or do you expect to include images, datasets, non-English languages or character sets, other projected needs?

- Are you considering using a website or social media such as a blog, Twitter or a Facebook presence to complement the journal itself?
- Open source publishing a goal?
- Do authors retain ownership of their work? Is there familiarity with options such as Creative Commons licensing? Do you need assistance with author agreement language?

- Would the journal be published in more than one format? (e.g. paper as well as electronic.) If so, do you want the electronic copy to be available at the same time as the print copy? (some journals have a "moving wall" so they can sell subscriptions to the most current content but then make it available as open access after that.) If all electronic, do you think there would be requests for "print on demand" of articles?
- Tentative timeframes for being up and running (when to begin using editorial workflow; when a first issue using the library's platform would appear.)
- Expected submitters of content.
- Peer reviewed? And if so, expectation of availability of sufficient reviewers.
- Do you want help with activities such as registering an ISSN for the journal, consultation on editorial workflow and management, training in using OJS, helpdesk availability if questions about using the software, assistance in gaining recognition as a scholarly journal, etc.?
- Do you have a masthead design and/or other expectations for the appearance?
- Are use statistics important to you?
- Any funding available?
- Who do you picture doing the "work?" (Editor, content manager, paid staff, volunteer scholars, grad assistants, others?) Is final copy editing to be done by the editor(s)?
- What are the responsibilities of the editors? An editorial board? What responsibilities would you want the Libraries to assume? (e.g. reviewers lose their passwords – who would respond to this type of need?)
  -Will there *be* an editorial board? If not, how would it move forward seamlessly through changes in editorship, requests for functionality changes, etc.?
- Do you want people to have 24/7 access to the journal content?
- Intellectual property – will authors retain rights to their work, or some rights such as ability to place a copy in an institutional repository? Do you need templates or assistance with author agreement language?
- Do you expect our system to provide long term archiving of back issues for discoverability, as well as preservation of content? [e.g. can mention that individual issues could also be uploaded to the ScholarSphere repository, which has a strong preservation component]
- What other alternatives have you explored or are exploring?

If the concept is to relocate an existing journal, besides the relevant questions from above, you will need to understand the details about their current publishing environment in order to understand their expectations coming in. Some questions to explore include:

- What platform is the journal using now? Is there an existing contract or service agreement with anyone? What are the reasons for wanting to move to a different distribution model?

- Who "owns" this journal and can make decisions for it? How is the journal currently funded for production?
- Is it published in more than one format? (e.g. e-content, paper subscription, RSS feed) Is it freely available electronically already? If not, how do people access it? (Subscription model? Paper distribution?
- Can you estimate the number of current readers/subscribers?
- What amount of content exists? How many years has it been published and would you want services for the backfiles from our library, too? (If so, where are the backfiles and on what medium?) Do you expect long term preservation and access to the content?
- What services does your journal receive, if published now by another entity?
- What is your current editorial process and workflow, and who is responsible? How does the peer review happen? In what format(s) does the publisher receive the articles (e.g. print; online submission)? Is there copyediting? Who provides the design factors?
- If electronic, do you have persistent URLs, DOIs assigned for article level, an RSS feed, metadata creation?
- Do you/your editorial colleagues do any of the marketing & publicity for the journal? How about article solicitation?
- Off the top of your head, what features in the current process could you not live without? (editorial assistance, design & layout, marketing, copy editing, templates for auto-assigning and emailing peer reviewers, etc. etc.)
- Who owns copyright of the individual articles?
- Who does the "work?" (Editor, content manager, paid staff, volunteer scholars, grad assistants, others?)
- What are the responsibilities of the editors? An editorial board? What responsibilities would you want the Libraries to assume? Would the Libraries take on any responsibility for marketing, other than placement on the website in our digitized collections & publicizing it in the same ways we do other journals?
- What is the timeframe – do you need to move the journal and if so, how quickly?
- What other alternatives have you explored or are exploring?

Appendix 2

Current Survey Form
Penn State Publishing & Curation Services Website
(http://www.libraries.psu.edu/psul/pubcur/scholpub.html)

Penn State University Libraries Journal Publishing

New Journal Proposal Form

New Journal Proposal Form

Thank you for your interest in our publishing program. Please complete as much of the information below as you know at this time and we will contact you to discuss your needs.

This webform was informed by the Journal Submission form from the University of Pittsburgh Libraries

Primary Contact Person(s) Including Email & Phone:

Journal Ownership:
(Who can make decisions for this journal? An individual, an association board, etc.)

Proposed Title of Journal:

Focus and Scope of the Journal:
(Describe the journal in a few sentences for both readers and potential contributors. This type of information would appear on each issue.)

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