CHAPTER 2

Scholarly Communication and University Publishing

2.1 Contemporary Scholarship

Individuals and groups who carry out research advance knowledge, but the total development of scholarship depends upon a maximum interchange of information and ideas between researchers in particular fields. In many ways authors, as scholars, are primarily concerned with the dissemination of information. For them, publication in the form of books, journals and reports are the most convenient ways of doing this. The scholar-author may be quite happy to receive royalty cheque from time to time but making money is not the main object of the exercise. It must not be overlooked, though, that the prestige gained by scholars through book publication undoubtedly helps their professional advancement and their future income. In the US, and of late in universities all over the world, lack of publication for academics without tenure can even lead to loss of job. Academic advancement and job retention depend upon publishing the result of research.

Intellectual pursuit and scholarly publishing operate within a cyclical dynamic. Scholars do pioneering work in an area, editors take note of that interest and publish in the area, publication encourages more research and more research means more publishing. The cycle continues until the research area is incorporated into existing disciplines, becomes dormant, or becomes an established entity on its own. Women's studies, for instance, constitutes a broad area of inquiry that spans only some three decades of intensive scholarly pursuit; the origination of the women's movement is often pegged at 1970 (Parsons, 1991:45). At first, scholarship consisted of an 'add women and stir' approach in traditional academic subjects. But as women's studies emerged as an independent area of intellectual inquiry and gained academic legitimacy,

scholarly publishers began soliciting books in the field. Remarkably, after only three decades of intensive intellectual pursuit, women's studies in now the second leading area of specialization at university presses.

Scholars have the freedom to set their own research agenda, which causes growth in some fields of scholarship and decline in others. Intellectual pursuit is continually evolving as new fields of inquiry arise or are reinvigorated and others get diminished. This shifting is reflected in the lists of books that eventually reach publication. University presses, as a leading vehicle for intellectual discourse, seldom serve as passive gatekeepers. Instead, they actively shape the cultural agenda by defining their role in the scholarly enterprise through list building and aggressive acquisition methods. By being on the frontiers of scholarship, a scholarly press can help shape the cultural and intellectual agenda, rather than merely reinforce existing values, beliefs and practices.

'Publish or perish!' is a fundamental psychological, indeed physiological, imperative that is rooted in the very metabolism of scholarship as a vocation. Publishing is not only integral to the scholarly activities of the university, but constitutes an essential part of its organic wholeness. In a rather harsh tone, Day (1991:29) lamented:

> The cliché 'publish or perish' conflates research and publication and in conflating these two very different processes scants the latter. As does the whole institutional structure: there are grants for research, time off for research, millions spent on laboratories and libraries in the interests of research. Then, with the work done, the results obtained, dissemination of those results is assumed to be the concern of others, requiring neither thought nor resources for the miracle of publication to be achieved. Just as the institution gives little attention to this part of the process, so do few academics acquire an understanding of publishing despite its importance to their careers.

Publication as the criterion for judging faculty members is important for the operation of the university, but that does not necessarily make publishing central to the university's mission. However it would seem paradoxical if faculty members were hired and fired according to their success with something irrelevant or at least extraneous to the university's mission. The meaning behind the phrase 'publish or perish' is to be preferred to 'research or perish': what good

is research known only to its author and its author's coterie? Knowledge advances as it is shared and built upon by the greatest number of other scholars—as it is published, argued Day (1991:30).

American writers on scholarly publishing often refer to the 'creed' which controls the pattern of advancement in their universities. Corwell (1975:100) said 'Publication is the path to preferment and prestige. Promotion, money and professional status are the result of scholarly publication… Professional progress is directly proportional to the bibliography'. Writing on academic authorship in the UK, Sarah Pedersen (1998:159) had this to say:

> Even in the UK's ivory towers, publication is no longer merely a means of communication. It has come to be a way of evaluating academics, and can be a major factor in professional advancement. It can also help the academic –or his or her department –attract more research funding from outside bodies.

There are more esoteric reasons for publication, such as the desire for immortality in print and the resolution of 'priority of discovery' disputes. One other most important reason for scholarly publication is still to inform peers of research findings, and be informed by them in turn. In the vast majority of cases, scholars do not publish for money. The average academic is too pleased to find a publisher for his or her monograph or journal article to start making financial demands about royalties or rights income. Obviously, academics hope to be rewarded in an indirect way, such as with promotion or tenure. In some scientific fields, such as physics and mathematics, scholars are even willing to pay to reach their colleagues. When applying for research grant in such subjects, it is not unusual for the applicant to include costs of publication in his or her grant application.

One of the most influential reasons for scholarly publishing in the last ten years in the UK has been the Research Assessment Exercise, in which the Higher Education Funding Council for England assesses the research quality of individual university departments by a process of peer review involving the exercise of academic judgement. The pressure to publish is therefore as strong as ever, forcing university departments to put greater emphasis on the research

output of their staff. For reasons mentioned above the scholar would not deem it enough merely to be seen to be doing research. It has to be measurable in published output and has to be published in a reputable (i.e., peer reviewed) journal or by a well-established publisher to gain the maximum prestige. The demerits in the UK system, said Pedersen, are based on too much pressure on academics to publish at the expense of teaching excellence and the rash of conferences whose sole purpose seems to be to increase the publication count.

According to Parsons (1987), 'university presses serve a prominent gate-keeping role in scholarly publishing because they, unlike commercial presses, can select knowledge for distribution without being wholly captive to the marketplace'. Altbach (1978) indicated that in developing economies '(they) offer a unique model for scholarly publishing'. The university press has as its basic role to publish and distribute scholarly books and journals. Scholarly books are defined broadly to include research monographs, analyses of current problems from a scholarly viewpoint, literary criticism, and the like. In a sense, university presses publish materials of high quality, which are not destined for commercial success, although as direct and indirect subsidies for academic presses have become more limited in recent years, scholarly publishers have taken commercial viability increasingly into account. The average press run of a university press book is fairly low—2000 in the 1970s was a common figure, but currently (2002) between 400 and 500---and most scholarly books take three or more years to sell out. University press publications tend to be expensive, partly because of limited print runs, high-quality production standards and frequently complicated typography.

‘To publish’ is commonly defined as ‘to make public’, here the concern is predominantly with the work of commercial book publishing (including the publishing of allied and digital products), as distinct from that of newspapers and magazine publishing. Cowan (cited in Kalmbach, 1997:7) defines publishing as ‘the making of information and ideas public and the arts, craft, and technologies involved therein’. Clark (2001:3) defines publishing by stating what publishers do: publishers commission authors (often before manuscripts are written), confer

authority and add value to authors' works, finance the production process, and marketing, and promote and sell the works wherever possible. Breaking down these functions he said the publisher researches in the markets in which it specializes and builds contacts; seeks authors; matches marketable ideas to saleable authors; assesses the quality of the author's work; decides whether to risk its investment funds; exploits new technologies to reduce costs; builds a sales network; promotes and publicizes the books to their intended users; and fulfills orders, distributes the books and pays royalties to authors.

In performing these functions the publisher influences the production, as well as the consumption, of knowledge. The dissemination process goes through the five stages of production, assessment, reproduction, marketing/promotion, distribution, and consumption. The production stage involves the most pervasive and direct way in which the publisher can influence the content of what is written by conceiving the work and commissioning an author to write it. Of course the publisher must be aware of both what authors are writing and what readers want and need. This occurs most frequently where publishing is highly developed, but it can be extremely important where the traditions of authorship are not firmly established. According to a leading American publisher, 'the practice of developing ideas in editorial departments, then finding authors to do them on assignment has…doubled since the 1920s' (Neavill, 1976:50, citing Farrar). 'Editors need to be creative in that they encourage and develop received ideas or initiate ideas themselves and match them to authors' (Clark, 2001:88). Whether or not a work is commissioned, the publisher at the editorial stage is likely to recommend changes in the form or content of a work; changes that range from minor alterations in grammar, spelling, and phrasing to large scale fundamental revisions.

Publishing is an integral part of the intellectual and cultural system of any country. This system includes such diverse elements as bookstores, printing establishments, universities, libraries, newspapers, radio, television and the

cinema. There is also the international aspect to the intellectual system, which includes the import and export of books and other mass media, copyright and translations. Publishing is only a small part of the intellectual system in most nations, particularly the highly industralized, and has a variety of accessible alternatives to books. Intellectual or knowledge distribution systems give a focus on scholarly books and journals, which contribute to the total store of knowledge in a culture or to the advancement of such knowledge.

2.1.1 Academic journals

A well established feature of scholarly communication is the reliance of the sciences on journals as the main vehicle for publishing research. In the social sciences and humanities books have as big a role, and in engineering conference proceedings are important. The output of research and scholarship is reported in the academic journal and the scholarly monograph. The academic journal is concerned with the validation, assembly and dissemination of scholarly knowledge taken to mean knowledge that has been generated by commonly accepted norms of academic enquiry. The concept of validation is important because academic journals represent an agenda of research for the discipline, and the publication helps to shape the scope and direction of the field. Academic journals are therefore essential part of the way the scholarly community functions. In addition academic journals serve specific communities, are bought usually by institutions not individuals, and are important because of the necessity to conduct research and to report it, both for the purposes of augmenting knowledge and for career advancement.

Journals serve to demarcate the boundaries of a subject and establish the reality of that sector. This process is not achieved in a planned fashion, but arises in the course of the review of papers submitted for publication. If the referees do not regard the paper as germane to the theme of the journal, then they suggest it be sent elsewhere. Thus the ‘boundary post’ gets inserted at the border of the subject. In a similar fashion, the ‘boundary posts’ can be moved as research into

a particular field develops, and observations previously disdained are found to be relevant. Again, this process operates at a subconscious level, because the editors of journals do not have the luxury of commissioning articles, instead, they have to choose from the papers submitted to them. Thus, growth in the size and number of learned and academic journals closely matches developments of the subjects upon which they are based. Conversely, journals catering for subjects that are marking time or in decline, shrink. Thus the scholarly journal serves the academic community by keeping it abreast of growth points, expertise and the loci of activity, as a depository for a body of knowledge, and a historical record of the progress in particular fields. Journals also review books and thus are a means of publicizing and criticizing research and analysis. Because of their frequent publication, journals have the advantage of presenting materials quickly to a specific audience.

Scholars in all areas of the sciences, social sciences and the humanities read learned journals and other serials, especially magazines and professional journals, and there are some hybrids like ***Nature.*** Essentially journals contain unsolicited and unpaid-for content while magazines are compilations of commissioned content. Most learned journals contain mainly primary research, with Scientific, technical and medical (STM) journals representing the biggest category by number of titles. STMs undoubtedly bring in the most revenue and the highest profit for their publishers. The main market for journals is the library, where up to eighty percent of the acquisition budget of a typical university library is allocated to the purchase of serials. A large body of statistical evidence confirms that the cost of journals is going up more quickly than the funds available to buy them (Donovan, 1998; O'Connor, 2000; Tinerella, 1999).

As a result of developments in information and communication technologies (ICTs), propagation of the latest thinking and results to that section of the 'invisible college' to which an academic belongs has always operated outside the published literature, if only because journals traditionally take so long to publish.

The World Wide Web has added a more effective method of maintaining contact than the phone, meetings at conferences and visiting. Institutionalized use of the Internet by means of the preprint (now eprint) servers which make public unrefereed material now coexists with submission to traditional journals. As readers, scholars are conservative. The SuperJournal project of the UK demonstrates that most academics will not go out of their way to produce 'dynamic' content for electronic-only publication and that regular use of electronically available journals, in spite of obvious advantages, in access and in searching over print, requires education, gradual familiarization and user acceptance. It is also clear that print, whether available between covers or as a print-out, is demanded because scholars do not read anything serious on screen. Whether or not the so-called 'Internet generation' will change all that remains to be seen.

2.1.2 Scholarly monographs

Books remain one of the most important means of intellectual communication and continue to be at the centre of the intellectual system in most societies, despite challenges from the mass media, rising costs and inherent difficulties of production, marketing and distribution. Ancillaries to books are journals and magazines, which serve as primary means of introducing new materials to specialized readers. The existence of journals, book reviewing media, bibliographies and ancillary materials is quite important to publishing and can greatly facilitate the sale and distribution of books and help create a general 'book consciousness' in a country. In addition to acting as an independent outlet for intellectual work, magazines and journals provide a medium for book advertising; perhaps more importantly, they are the key means of reviewing books.

Writing on academic monographs, Wratten (1999) explained the current situation in the crisis of this genre of publishing. Following years of greatly increased output marched by demand in the expansion of universities, which was

supported by generous government funding of university libraries, the monograph could sell between 1,500 and 2,000 copies. Also in those days, individual academics could build up their personal libraries. From the end of the 1970s a number of factors, including budget cuts, rising production costs, declining markets and global competition, affected the market adversely. Faced with such difficulties, and with little prospect of a return to growth in the market as a whole, many publishers have curtailed their lists or even abandoned the sector completely. Even university presses have sought to limit their commitment, especially in the more marginal subject areas and have turned to more lucrative areas in educational or trade publishing to help sustain their scholarly programmes. For large and internationally studied subjects like economics, libraries alone can provide market enough, still today accounting for sales of 600 to 700 copies. Even with individual scholars' purchases, a sale of 400 to 500 copies in some subjects is as much as can be hoped for, and even that modest number would be price sensitive. Not surprisingly, publishing in these areas is left exclusively to the university presses.

Academic monographs often take a long time to process editorially, as their high standards of scholarship mean that they must be edited and produced carefully. So there is a relatively high cost at the editorial stage compared with, say romantic fiction. In some houses, authors are being asked to accept lower royalties, deferred royalties, or even no royalties at all. These savings to the publisher are justified on the grounds that for most salaried academics, royalty income is a pleasant extra. Another problem peculiar to scholarly publication is that certain areas of scientific research knowledge are growing so quickly that virtually any form of publication in which there is an appreciable delay between discovery and dissemination is useless. Even scholarly journals may be too slow for some scientists, and in these areas the actual academic viability of the book becomes questionable. However not all subjects expand at the rate of the sciences and university publishers still publish for the long term in the humanities and similar areas.

As a result of a combination of factors, including rising costs of the monograph and budget cuts, libraries have directed an increasing share of their reduced resources to journals, CD-ROMS, and online subscriptions, and even materials to support the teaching programme, including multiple copies of adopted textbooks for students. In the UK, the dozen or so out of the 90-plus universities committed to buying research level book make extensive use of inter-library loan schemes to make their funds go further. What used to be a 50/50 split between journals and books has now come nearer 75/25, and in many areas of science where the ratio is even less favourable, the monograph has all but disappeared.

Library suppliers, the main trade outlets for scholarly books, are also in the doldrums, with margins under pressure both through competition for dwindling budgets and from the libraries' own demands for a better deal, instanced most recently by the emergence of powerful university buying consortia. These consortia aim at economies of scale obtained by their banding together, and also shared access to their individual stocks. Wratten (1999) posed the question: Can monograph publishing still be profitable? In this deteriorating climate a viable business model is elusive. Can the traditional hardback book that libraries prefer be published economically in print-runs as meagre as 400 to 500 copies without price increases that would eventually be its downfall? How far can overheads be cut without compromising the editorial and marketing contribution that is the publisher's main ***raison d'etre?***

The new technologies of digitisation, desktop publishing, print-on-demand, and Internet dissemination may be harnessed to the monograph's advantage. Organizations like the World Bank and Unesco are already saving substantial freighting costs through this technology. It is reported that New Zealand already makes extensive use of POD with all the Pacific islands, producing very small print runs in very many languages. (Davies, 2002). On the possibility of using POD within Africa, Victor Nwankwo stated that the technology gives scope for co-

editions, or for a lead publisher to sell rights to publishers in other countries who will do their own printing. The experience of Fourth Dimension Publishing of Nigeria with POD technology follows from the ABC organized workshop in 1998 for twelve African publishers. The FDP has entered into a POD Wholesaler arrangement with Lightning Source Inc (UK) that allows it to receive electronic files of certain FDP titles, print small quantities of these, based on orders, and deliver them to ABC's headquarters in Oxford (UK).

Furthermore, the new production processes of computer typesetting and author-prepared disks introduced in the 1980s are now mature. Royalties are invariably low on a net receipts basis (or none on many more marginal titles), and are now generally in step with the financial expectations of each book. But the most significant cost savings of recent years involve the equally important areas of inventory control and marketing. With print-runs in the hundreds and a backlist of often thousands of titles, precise matching of demand with supply is vital. New technology is enabling publishers to move gradually towards a print-on–demand (POD) model, which will increase their stock turn around and reduce warehousing costs. Macmillan's short-run reprint programme—of as few as twenty five copies of a title—has enabled it to cut first print-runs to the level of assured first-year sales, and also to make out of print books available. Oxford and Cambridge have similar programmes.

Although books with any significant market will continue to appear in printed form for the foreseeable future as 'typographic man' still demands, the Internet will increasingly be the solution for more marginal titles. The dream of a continuously available catalogue, with a permanent digital archive of all titles from which as little as a single copy could be printed, either by the publisher or by a third party database holding the digital image under licence, is still some way off. There are cost implications in generating single copies, nevertheless some publishers are moving in this direction, and there is no doubt that electronic delivery will become a significant feature of the monograph market over the next few years.

The dominance of the printed book as a preferred format for the scholarly monograph is an issue borne out by both users and publishers. The report of the eLib[1] study by Armstrong & Lonsdale (1998) provided evidence to support the belief that the scholar or student is culturally conditioned to use the printed book and that this orientation will persevere. That this phenomenon is intrinsically associated with Western culture is the view of North American writers, and their counterparts in the UK scholarly publishing community. In the UK Routledge, for example, acknowledged the longevity of conventional print publishing for textbooks and academic monographs. Their reason for publishing in CD-ROM format as opposed to Web monograph is the fact that the CD-ROM is closer in character to the book format.

2.1.3 Concerns about quality in scholarship

There is a wide debate currently about the number of published titles, the cost of these titles and even the process of peer review (Donovan, 1998; O'Connor, 2000; Tinerella, 1999). One recent commentator suggested that the average price in the UK increased from £85 in 1985 to £311 in 1994 (Donovan, 92). Judson (cited in O'Connor) gave three reasons for the breakdown of the peer review process which is central to the scientific information chain. The first is the declining standards and the growing, built-in tendency toward corruption of the peer-review and refereeing processes. Next, are the pressures of time, quantity, and competition as the number of articles being published, their specialisms, and the range of journals increase beyond control. The last threat is the advent of electronic publishing and with it digital object identifier (DOI) by which each article, graph or table on electronic collections such as the Academic Press or Elsevier stables can be retrieved by this unique number (similar to ISBN). Teplitz (1970:94) predicted this trend some thirty years ago when he said:

> the publisher of the future apparently will be a 'repackager' of information that is stored in a central location, selectively reformatted at the requester's option and moved electronically to another location for display, or for filming, copying, or printing for subsequent dissemination.

[1]The eLib programme was set up with funding of £15m over three years to explore a variety of problems affecting British libraries. Much of its research was on the development of electronic journals.

With this development it is not unreasonable proposition that articles will be published under the banner of a Press rather than under the masthead of a particular journal. Publishers are then not the producers of particular journals but rather large collections of articles, which their search engines, as well as more traditional indexing and abstracting services would make available. This scenario will shape the approach of the 'intermediaries' such as the Electronic Journal Navigator (Blackwells, Swets, and Qawsons) who would very usefully provide aggregated access to a variety of individual articles (O'Connor, 2000:41).

Most academics involved in scholarly publishing consider themselves members of a scholarly community who has a quest for knowledge. Along with teaching they have placed publication of scholarship as a core activity—researching it, producing it, passing it on. In the last half of the twentieth century, the 'academy' has opened up and encompassed an ever-widening pool of scholars and students. Institutions of higher learning have expanded, raised their standards, added advanced degree programmes, and increased their faculties. Tenure requirements have risen across board and the process has become more elaborate. In the humanities, publishing one or two books has become the norm for tenure. The production of scholarship has accelerated, quantity has trumped quality, and what earns tenure has become the goal.

During that same period, especially in the last few decades, the publishing world has also radically altered. Profit motives have prevailed and competition for prospective best sellers, fuelled by excessive advances, has escalated, while at the same time editorial input and quality control have declined. Sky-rocketing production costs (driven by paper prices and technology) have been supported by cutting back on what is dispensable: editorial personnel. Press lists have been expanded with the logic that increasing the number of books increases the odds of netting some bestsellers. The results have been a lot of mediocre books and the consolidation of publishing houses into a few conglomerated behemoths. What will sell sets the standard, but salability does not always equal quality.

University presses have not been immune to these forces, but instead increasingly act like trade publishers. Indeed, university press editors seek and promote books for the crossover market. This can be good for individual scholars, who as a result may even realize a profit on their scholarship, and good for the scholarly community, to the extent that scholars are encouraged to speak to a general audience. But without appropriate balance, trade marketing standards could have adverse impact on the publication of scholarly monographs. Resources may be diverted to promoting trade books and specialized studies either rejected or relegated to low priority as they are prohibitively expensive due to small print runs of between 275 and 300 copies world-wide. Authors whose topics are suited for a public readership may be pressed to distort their scholarship by shortening texts, popularizing arguments, and minimizing scholarly apparatus.

The two vectors of the marketplace and the professional place seem to be pointing in opposite directions. Academics need to publish more and more work to get tenure and promotion. Libraries cannot afford to buy it or shelve it because sky-rocketing journal prices are eating their budgets and space. In the face of higher production costs and shrinking purchasers, university presses do not want to publish specialized studies that do not sell. Publishers and scholars share a common ground—marketability of books and of careers, but in arriving at this common ground, considerable erosion has occurred in the bulwarks supporting the ideal of creating and disseminating significant new knowledge within the scholarly community. The romantic days of lives of poverty in the cause of learning are past, at least for full-time faculty. Academics are committed to advancing their careers, not just through tenure and promotion, but also through publicity, profits, and high profiles. The result is a commercialization of the academy that is corrupting scholarly standards.

The consequence of market forces on both the publishing side and the academic side is the increase in the quantity of manuscripts produced, circulated and

published. The problem is the quantity of scholarly material being generated and the evaluation of its quality. The process is overloaded, and expectations are inflated. Recently a spate of articles has called for a reduction in the quantity of scholarship required for tenure and an emphasis on quality over quantity. Proponents include Magner, Waters, and Ruark; (Ruark, cited in Teute, 2001). One of the signal problems in the humanities is that the tenure clock militates against further research, careful revision, and maturation of work into significant study. In the rush to publish, authors turn in rough manuscripts that are incompletely conceptualized and under-researched. Expectations are for quick review and then fast turn around of the manuscripts without thoughtful revision. Everyone is to blame, including editors and peer reviewers. The output of the top six highest publishing countries rose from 336,640 in 1990 to 445,580[2] in 1996.

Editors, eager to get first crack at leading-edge, saleable manuscripts, agree to look at raw dissertations and even solicit unfinished ones. In the competition to acquire, they do not have time for careful readings and critical advice. So the manuscripts get pushed to outside peer reviewers, the same people who are dissertation advisers, scholars in their own right, faculty with committee duties, and the duty for evaluating tenure cases—in other words, very busy people. Thoroughly vetted manuscripts should be producing sound scholarship of value and merit but peer review is becoming a mere formality. Simultaneous submissions of manuscripts have led presses to share readers' reports with the result that one person supplies an identical recommendation on the same book for two or more presses at once. These practices can lead to a kind of generic homogeneity in standards for publishable scholarship. It is corrupting both for the presses and for the authors, turning competition on both sides from criteria of intellectual excellence to those of process. The question is who can turn this manuscript around the fastest and offer the best deal, rather than who can help make this the best book I want it to be?

[2]Appendix 1A

The pressure of time also works against thorough review. Acquisition editors usually cannot afford to identify, track down, and convince the most appropriate scholars to read a manuscript. Presses send out uniform evaluation questionnaires to reviewers that do not raise specific issues concerning the manuscript under consideration. Editors are too busy processing manuscripts and may not vet them carefully. So readers are not always the experts in the field we would like to believe they are. Even if they are, they do not have the leisure to provide a detailed thorough critique. Then there is the impetus to tenure. Evaluators, unless they are really mean, bend over backwards to support tenuring junior faculty. All in all, it is easier, and quicker to 'go softly' than engage critically in reviewing other scholars manuscripts. All these are challenges to the very existence of scholarship; challenges which conflate the two separate issues of books making genuine contribution to scholarship and books filling a list because they might sell.

Over the last fifteen years university presses, in their attempt to further the goal of building lists, have resorted to creating book series. Series titles have doubled in number over that period to 833 (Ruark, cited in Teute, 2001:107). These series have helped acquiring editors in a number of ways, served to attach top scholars' names to series, enlisted their assistance in attracting authors, and brought their expertise to bear on manuscripts. But they are a corrupting influence; instead of strengthening critical evaluation, they can undermine it. 'Scholars bring their fame but sometimes not their attention to these series' (Teute, 2001:107).

The tenure and scholarly publishing systems as now constituted result in pushing manuscripts through to publication before they are ready whether or not they have met critical scholarly standards warranting publication. Possible ways of addressing these problems include doing away with tenure or drastically revising the bases on which it is accorded, and looking into electronic publishing to relieve the market pressures on scholars, libraries and publishers. In attempting an answer to the question 'who are the dinosaurs in scholarly publishing', Teute

(2001:109) said the answer should come from a collective assessment of what the environment and goals of communities of scholars should be.

The rising costs of published works, especially scholarly journals, have called into question the role of publishers in the scholarly communication process. Law, Weedon & Sheen (2000) attributed the rapid price increases in scholarly publishing over the past thirty years to the transfer of academic journal production from non-profit, scholarly societies and university presses to commercial publishing companies. Commonplace arguments question university scholarship about the senseless selling of copyright by its academics to the publisher who return to sell them to make big profit, concurred Tinerella:

> In fact, researchers say, academia is a paradise for publishers. First, the public pays for most scientific research…Then universities pay the salaries of scientists who do virtually all the writing, reviewing, and editing. Finally, authors typically sign over their copyright to publishers, who can sometimes bring in millions of dollars a year in subscriptions paid by university libraries supported by tax dollars and tuition (Tinerella, 1999:3-4).

Consequent to this pricing crisis, there have been calls for the university press to reposition itself in the scholarly process and take over the functions of commercial publishers who charge exorbitantly for their products. Further solutions proffered include libraries cooperating with their university presses and academic departments to do their own publishing, and self publishing on the Internet (Bennet, 1994; Tinerella, 1999). The talk is about 'having university presses take over a large part of that kind of publishing in order to address the problem of universities producing materials that are given to commercial publishers and essentially sold back to universities at exorbitant prices' (Thatcher, 1993:205).

The last decade has seen the emergence and now the institutionalization of the angry librarian reacting to a situation in which the expressed needs of the library's patrons cannot be satisfied because there is not enough money. In the UK there has been a series of government-funded research programmes administered by library activists, seeking alternatives to traditional publishing and

its profits. Models proffered include subsidising cheaper alternatives run by 'good' publishers (usually learned societies), free journals financed by page charges, and the separation of peer review (perhaps organized by universities) from delivery of content. In the US, the library as publisher has existed in the model of HighWire Press of Stanford University where the library has provided the means of electronic publication for the learned society's existing publication.

In a similar initiative, academic libraries in the SPARC (Scholarly publishing and academic resources coalition) and the American Chemical Society have launched in print and electronic form a low-cost chemistry journal, ***Organic Letters*** ($2,300) to compete with ***Tetrahedron Letters*** ($8,000) (O'Connor, 2000:44). Donovan (1998) reported that hard-pressed librarians have often urged academics to by-pass publishers and set up their own systems of information exchange. The US Research Libraries Project of the Association of American Universities in 1994 specifically encouraged not-for-profit organizations to create electronic journals that can achieve high editorial quality and prestige in the scientific community. They were also to provide incentives that redirect copyright assignment for Science and Technical Information (STI) intellectual property from the commercial to not-for-profit publishers.

Sanford Thatcher, Director of the Penn State Press, commented on issues relating to university presses in an interview conducted by two librarians. He agreed with proponents of that idea that the source of the problem is the spiraling costs of scientific and technical journals, but does not think university presses have either the staff or the experience in scientific publishing to take on this responsibility. With the exception of a few of the larger presses like Princeton and Cambridge, university presses do not do much publishing in science at all; in fact only 20% of the journals published by university presses are in scientific fields (Thatcher, 1993:205). More recently, the Association of American Universities has proposed the idea of 'decoupling' certification from publication as a strategy to defeat the monopoly-like stranglehold that commercial publishers have

exercised over the publication of scientific, technical and medical (STM) fields (Thatcher 1999). Thatcher argues that it would take quite a bit of extra funding for university presses to get up to the speed in this area and have a chance at all of doing it well. The commercial publishers have been at it for a long while and have the staff and the expertise.

Funding for the publication of research results is problematic. Donovan (1998) is concerned that money spent obtaining good research findings that are not subsequently published represents money wasted. It is very clear that expenditure on the publication of the findings of research has not grown in parallel with the increased funding of the research itself. For example, the Medical Research Council allocated £289m to research in 1997/98, while the Wellcome Trust spent £250m for the same purpose. While the two fund only a small part of the total research carried out in the UK, a very few million pounds directed toward the publication of the results could do much to solve the problem of librarians. An option could be through the allocation of one to two percent of the research grant to information retrieval and publication, with the money going toward the purchase of journal subscriptions or other published material related to the topic of the research. Others are looking more benignly on guarantees, subsidies and publishing co-operation with research bodies. There is a growing feeling that research project funds could well contain a certain element to help with the costs of publishing research findings.

In the past fifteen years, ownership of many publishing houses has changed several times. Some examples include the newly emerging electronic information providers: Elsevier and Pergamon are now owned by Reed, Information Access Company (IAC) and the Institute of Scientific Information (ISI) are now owned by Thompson, and Routledge is now owned by Taylor & Francis. The ownership of these companies is important in that they singularly and collectively own the intellectual output of the universities in the western world. Under the copyright provisions in most countries the publishers control that output for the lifetime of

the author and for a further seventy years. This is of course, if the authors have transferred all rights for the duration of the copyright declaration, which are required to be signed before publication proceeds.

Copyright is a major economic and social resource and has been recognized as such by the Lehman Report of the US and the Bangerman Report of the EU. If copyright were of little value, then few would bother about it or argue about its operation. The very vigour of the demands for extension of 'fair dealing' into the digital medium reflects the view of some librarians that expenditure on books and journals could be substantially reduced, at the expense of the authors and publishers. As the Federation of European Publishers pointed out, 'copyright is the vital support of creativity, giving authors, producers and publishers the ability to earn from their work, their skill, and their investment, by granting them the exclusive rights to authorize the reproduction (the making) of copies, and the first distribution or communication of their work to the public (Donovan, 1998:99). In the digital world the opportunities .for infringement of copyright are multiplied, for material can be downloaded, copied to other users, stored in a computer, manipulated, and altered in such a way that the rights of the author are grossly infringed.

Not all scholars agree fully with this list of ills, especially the reduction of editorial inputs, and think the claims have been overblown and generalized. Arguments for and against the role of publishers will continue but what remains certain is the change in the publishing process brought about by access to information and communications technologies. It remains to be seen whether publishers will be dislodged from their role as intermediaries in the scholarly discourse.

2.1.4 The potential of electronic publishing

Lancaster has been looking forward to paperless scholarly communication since 1976 but more recently the term 'virtual library' has been coined and we can begin to conceive of a new library concept within not too many generations.

Within the context of today's electronic library and the increasing use made of the Internet and the World Wide Web for research, there is surprisingly little reliance on digital originals. While many aspects of collection management can be aided and facilitated by means of the Internet, all libraries and information units currently depend to a greater extent on the printed page for their stock in trade. More so the mindset of most users of the library remains rooted in the paper book or journal.

Electronic publishing seems very attractive as noted by DeLoughry (cited in Armstrong & Lonsdale, 1998:7): 'officials at many US presses say electronic publishing makes economic sense as printing costs continue to rise, pushing the prices of books and journals beyond the reach of many libraries and scholars'. Suggested advantages of the electronic monograph include information being updated on a regular basis without waiting for new editions. Textbooks often run to an unwieldy 500 pages and students may be forced to buy a complete volume, when only a small section is needed while networked versions could allow the purchase of relevant sections only. Electronic textbooks additionally allow the inclusion of multimedia applications, providing invaluable teaching tools, such as video clips of clinical operations.

For a number of years electronic scholarly publishing has been synonymous with electronic journal publishing. New electronic journals are being announced at the rate of twenty to thirty a week and about thirty percent of these fall into the broad category of scholarly works (Armstrong & Lonsdale,1998:7). However with the exception of texts added to electronic archives such as Project Gutenberg, the Oxford Text archive, or Project Bartleby, relatively few monographs are made available on the Internet. The serial nature of journals may account for this, besides incentives for currency and convenience of access.

There is a great deal of contradictory evidence in the literature about the demise of scholarly monograph publishing. Several converging trends including declining

university subsidies, the increasing specialization of research, and tightening library budgets account for this observation (Winkler, and Freeman, cited in Armstrong & Lonsdale, 1998). One group of commentators in North America believe these trends would lead to the decline of the scholarly monograph, especially in the humanities and the social sciences. To them the problem is especially acute in the fields of history, area studies, music and literary criticism, and coincidentally it is mostly in these areas that publishers are exploring the potential of electronic formats.

Other observers in North America do not accept this premise, and argue that more academic books are being published than in the past, but that they are in different fields (Wissoker, cited in Armstrong & Lonsdale, 1998). Wissoker offered statistical evidence from the Association of American University Press to support his contention that the growth of academic publishing has not declined but has been preserved. What has changed, however, is the nature of the monograph and this is corroborated by the Publishers Association of the UK. While it does not differentiate between scholarly monographs and other academic publications, the Association noted that 'there has been a rapid growth in the output of academic books over the past ten years. The figure of 25,000 new titles and new editions in 1985 rose to 45,000 in 1995 (Publishers Association (UK), cited in Armstrong & Lonsdale, 1998:16). These statistics however hide the fact that the average unit sales per title are now seriously reduced.

To date electronic publishing in the form of multimedia CDs, for example, has not been commercially successful. This has been in part because too often publishers have tried simply to place printed material straight into electronic form, without taking advantage of the particular strengths that electronic media can offer, and in part because of the very high costs involved in exploiting this medium appropriately for what is a relatively small potential market. Currently, much of the material available has been either online versions of printed journals

or sample material, and solution manuals for printed works. For students there has been an increase in local informal publishing (such as lecture notes) on various university servers, and many universities have linked their sites together. While being a threat to traditional textbook publishing, this provides an opportunity for commercial publishers to make use of this material and tie it in with their resources.

Explaining the cost implications of electronic publishing, Armstrong & Lonsdale (1998) pointed out that the literature reveals ambivalence. One body of opinion suggested that electronic publishing is particularly cost effective for materials that are traditionally expensive to print. Other commentators are less optimistic, arguing that it is too early to determine whether the new technologies will result in significant savings in production costs. For example, many of the costs associated with the highly labour-intensive editorial and peer review processes of scholarly monograph publishing will remain while some costs associated with the actual production of the text can be reduced in addition to distribution and storage costs.

The eLib report by Armstrong and Lonsdale cited the initial experience of CD-ROM publishing by Routledge, which revealed that there is no appreciable decrease in the costs. Wiley maintained that it was no less expensive to publish electronically than in hardcopy and in many instances the cost was higher. Donovan (1998) reported that a general view of the progress of the UK eLib programme included a preliminary finding that the costs of running electronic journals are not lower than those associated with a more traditional print journal. Other pertinent issues regarding a complete switch over to electronic publishing are quality, user demand, the refereeing process, archiving and copyright, none of which has been addressed.

Armstrong & Lonsdale (1998) investigated the incidence and nature of the publishing of electronic scholarly monographs and textbooks in the UK and North

America. Among publishers active in the field of electronic publishing in the UK were Routledge, Cambridge University Press, John Wiley, and Chadwyck-Healey; and there are in excess of fourteen North American university presses active in the field. Blackwell Science is also very active in this area. Despite the seemingly obvious advantages of web publishing there are inherent misgivings about the value of the web monograph. It has been argued that peer review and editorial processes clearly add authority but that would be lacking from self-published monographs. Furthermore the general worries with regard to the impermanence and instability of the monograph have yet to be addressed.

The report cautioned that in some areas of the world electronic publishing may simply equate to no publishing as power, telecommunications or computing infrastructure are not sufficiently advanced. Even in technologically advanced countries, the non-academic user who must rely on a dial-up connection is disadvantaged in very real terms if lengthy monographs are web published, as there will be a telecommunications charge over and above the cost of the book.
Another issue that appears to have a significant bearing on the direction in which the publishing of electronic monographs is moving is the belief that the demands from within academe are best served by the journal article and not the traditional monograph. The publishing of 'rough drafts' of contributions online for feedback, and the publishing of research associated with a monograph before the book gets completed point to a new development in publishing. It has been suggested that something between a journal article and a book will replace the electronic monograph.

Faced with the threat of 'disintermediation' in this new environment of computer and communication technologies, scholarly publishers are beginning to wake up to the vital need to explain better exactly what it is they contribute to the process of scholarly communication. At a conference on the 'Specialized scholarly monograph in crises' in 1997 there was a call by the University of Texas Dean of Graduate Studies, Dr.Sullivan for university presses to show the value they add

to the publication process. In direct response, Thatcher (1999) in an article 'The value-added in editorial acquisitions' rose to the defense of publishers. He showed the contributions of acquiring editors and the editorial boards which together manage the peer review process—that which most crucially distinguishes scholarly publishing from all other kinds of publishing.

2.2 University press publishing

The modern university press was essentially developed in the English-speaking world, first at the universities of Oxford and Cambridge in England and, centuries later, in the United States and the nations of the British Commonwealth. Beginning with Oxford in 1478, university press publishing has come into its own in the past two centuries, particularly in the United States where at least one hundred university presses now operate as an Association of American University Presses. The AAUP, which was established in 1937 by twelve presses had 111 members (including six international non-American) in 1994 but now boasts of 121 members (Meyer, 1995:358; AAUP[3]). In the last quarter of the nineteenth century, following European examples, graduate schools of arts and sciences emerged one after the other across North America. Older colleges and universities upgraded their curricula, and new universities sprang up with graduate instruction and research as their primary purpose.

Far-sighted leaders such as Daniel Coit Gilman and William Rainey Harper, respectively the first presidents of the Johns Hopkins University and the University of Chicago, perceived that teaching and research were not enough but that the findings of the investigations must be made available both to others engaged in similar pursuits and to an interested public. Since most commercial publishers were loath to publish books comprehensible only to the highly educated reader, the solution lay in the university press.

[3] Home page at www.aaupnet.com. Accessed on 14 June, 2001

The first American university press opened at Cornell in 1869 but was discontinued in 1884 and re-established in 1930. The Johns Hopkins University Press started publishing scholarly journals in 1878, added books some years later and thus becomes the oldest continuing press. Presses were established at Chicago (1891), California and Columbia (1893), and after the turn of the century, at Toronto, Princeton, Yale, Harvard, and other centres of higher education (Seybold, 1992). These publishing outlets were meant to disseminate the results of scholarly research, which were produced from the newly introduced graduate programmes. The American university press emerged at a time when American higher education was declaring its independence from European models with emphasis on graduate study and research. In a sense the university press was part of America's effort to declare intellectual independence in the late nineteenth century.

Parsons (1987) gave an account of the slow and erratic growth of the university press movement in the US in the late 1800s and early 1900s, and their expansion in the 1920s and 1930s. He recorded the attack on the press in 1943 by the President of Harvard University who viewed it as a business enterprise with no academic virtue and wanted to dispose of it. But for the defence put up by Professor Perry of the same university, the press would have folded up. This gives a picture of the threat to the existence of university presses at the time, as they remained an insignificant part of American publishing till after World War II. In particular the period between the 1950s and the 1960s saw their expansion with help from foundation funding and government-supported library programmes, a growth that abated in the inflation years of the 1970s, but was renewed in the 1980s.

University presses have developed on the European continent since World War II, in particular Scandinavia has been active in scholarly publishing. Presses were established in Russia, Latin America, and Asia from around the mid-1940s. In 1970, during the International Book Year, publishers from thirteen countries

established the International Association of Scholarly Publishers, which currently has 260 members **(**Meyer, 1995:359). University presses were established in Africa starting in the mid 1950s as a post colonial process of self reliance by the newly independent countries, the only exception was in South Africa where university publishing started in the 1922.

2.3 Inside the press house

2.3.1 Administration/Management

To a large extent the management of a publishing house is like any other business, and many of the rules and practices that apply to other businesses apply equally to publishing. One has, for example, similar problems of capital investment, control of inventories, cash flow, credit, personnel, etc. Yet in many ways publishing is different, first because of its cultural aspects. Publishers for most part are very conscious of the cultural role of books of all kinds, and often their decisions are based as much on literary or other cultural aspects as on business judgement.

Secondly, each new book (or integrated series of books) is a new venture or project altogether. In a sense it is a new business involving many of the same but also different considerations from the business as a whole. A publisher produces a list of books, each of which must be nurtured, considered for publication, contracted for, edited, designed, manufactured, and sold. Each book is unique and has many individual characteristics that affect its progress at every stage during its manufacture.

I shall borrow the terms ***macropublishing*** and ***micropublishing*** from Bailey (1990:62), which I find very appropriate even though he found them rather awkward. He explained that these words respectively 'exhibit a suggestive parallel with the well-established terms macro-economics (involving the entire economy) and micro-economics (involving only a particular market within the economy).' He defined macropublishing to include all those aspects which

involve the publishing house and its list as a whole, and micropublishing as those considerations that involve decisions about an individual book. Every publishing house must engage in both macro and micropublishing, and one of the Publisher's main tasks is to co-ordinate these two closely related activities. This is for the simple reason that individually successful publishing ventures (micropublishing) usually require a well-organized and skilfully managed macro publishing activity. (A partial list of details of the two is given in ***Table 2.1*** below).

Table 2.1: Macropublishing and Micropublishing compared

Macropublishing	Micropublishing
Editorial policy	Editorial decisions on manuscripts
House editorial style	Copyediting
House design style or policy	Design of individual books
Control of production cost and quality	Arrangements to manufacture a book
Marketing budget and policy	Marketing plan of a book
Analysis and projection of sales of the list	Sales background or projection for a book
Pricing policy	Price of a book
Inventory policy	Print order for a book
Personnel policy and management	Royalty rate
Organization (including work flow)	Publication plan of a book
Discount structure	Discount category
Copyright and rights	Subsidiary rights (eg book-club possibilities)
Budgeting and financial management	Budget control for a book/project

Source: Bailey, 1990:63

With a few exceptions (the chance privately published book that becomes a bestseller), each title builds on the successes of the others and is produced and distributed more efficiently as part of a planned list and with the benefit of the attention of a variety of specialists. It is evident from the table (below) that macropublishing is mainly the responsibility of the top management, and it

provides the total framework for the micropublishing activities of the press house. Essentially, there is no inherent conflict between the two, though micropublishing decisions will be affected by macropublishing considerations, since the former must fit within the broader macropublishing framework.

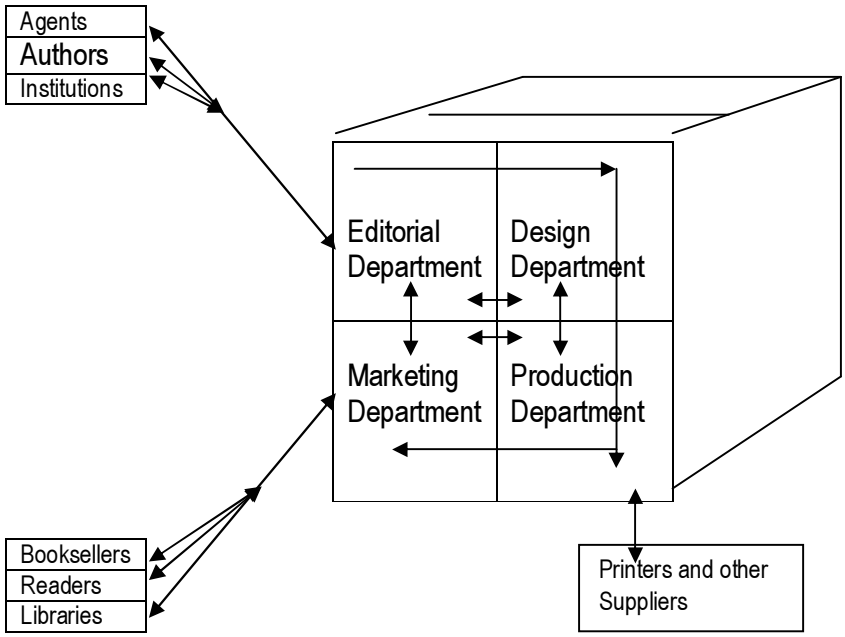
In macropublishing, there is cash flow, inventory flow, investment in operating costs (overhead), and the rate of output in the new titles and imprints, all adding up to the control of investment in its many parts, including investment in personnel. In micropublishing, there is the flow of an individual book through the editorial, design, production, and marketing stages. Functionally, a publishing house is organized along the micropublishing activities performed to transform a manuscript (or typescript) into a finished product—a book or journal issue. Following the normal flow of work, a press house may have editorial, design and production, and marketing departments.

Management and accounting are two other departments that do not belong to the normal sequence of work in the press house but have exacting influence on what goes on in all the various departments. The management department belongs to the director of the house (the Publisher), who co-ordinates all work in the house together with the heads of the various departments. Management directs and controls the overall activity (macropublishing) of the house both internally and with respect to its external environment. It sets directions, goals and policies, and concerns itself with internal co-ordination. The accounting department keeps records of income and expenditure, providing management with background information and future projections on the basis of which management can make decisions. In some cases, this department also processes orders, collects bills, controls credit, shipping and warehousing operations. The interrelationship between the various departments of the press house is represented in ***Figure*** 2A.

A primary task of publishing management is to control change by making a variety of large and small decisions, constantly adjusting action in the light of

short and long-term experience in relation to conscious goals. In terms of more specific short-term decisions, the ultimate goal of the press house may be to publish a certain number of new books this year, to maintain inventories at a certain level, to achieve a certain level of sales performance, or to publish certain individual books or types of books. Decisions on the acceptance of manuscripts are made periodically during the year in relation to an overall yearly budget of acceptance, and major decisions on advertising budgets may be made twice a year. Numerous detailed decisions must be made about each individual book (micropublishing): on acceptance and contract terms, editorial problems, format, price, quantity to print, marketing strategy, etc. All the detailed decisions regarding individual books merge to constitute the total publishing result, the life of the publishing house, so the overall publishing decisions (macropublishing) must provide the context in which the individual decisions are made.

Figure 2A: The schematic diagram of departments in the publishing house



Source: Adapted from Bailey, 1990:44

Management decisions should take cognizance of the **external environment** of the publishing house and the **internal organization** of its operating and managerial functions. In exercising his/her administrative duties as press director, the Publisher must be sensitive to the external environment, which is made up of authors, agents, institutions, booksellers, wholesalers, libraries, readers, printers, binders, and banks as well as competitors. Libraries in particular constitute a key market, especially for scholarly books, without which it would be virtually impossible to publish scholarly books. In the US, well over half of the books published by university presses are sold to libraries, and some observers estimate that the proportion could be as high as eighty percent (Altbach, 1976b:6). In a Third World country like India, library sales of scholarly books are about eighty to ninety percent.

In the main, and as far as the core business of the press house is concerned, the author is the most essential external contact. The Publisher will be sensitive to competition from other publishing houses and in the book market, and must be aware of new ideas and trends (especially technology) that may affect the book industry. The scholarly press house must cope with the complexity of creative and scholarly networks by such means as discovering new talents, pioneering fresh fields, judging the quality and saleability of manuscripts, arranging for editing, and working out relationships with individual authors.

In the 'distant' environment, the publisher is also very much affected by broader social conditions. The nature of the educational system, the condition of libraries and other book purchasing institutions, the rate of literacy in the population, and the accessibility of alternative media all influence publishing. The publishing firm is bound by physical constraints of production and distribution, for example labour and transportation, availability of outlets, printing presses and the cost of paper. In fact, the general social, economic, and political conditions of a country, as well as those on the international scene affect the publisher.

The Publisher must also be sensitive to government rules, regulations, and laws. The coordinating role of the Publisher in his/her capacity as director who is mindful of all the internal intricacies of the house without losing touch with the essential external factors is very vital. In the internal organization of the house, he/she must integrate all the various departments into a working unit, a fact emphasized by Bailey (1990:43):

> A successful publishing house is not an assemblage of independent, disconnected departments: it is a structure with many doors, some opening in, others out. If some of the doors are locked, the house will not function harmoniously or well.

The Publisher's office is the centre of decision and policy-making. No work actually flows through this office, yet it comes to the office for approval or is carried out on the basis of policies and procedures approved by the office. The Publisher's experience, judgement and knowledge are applied to the programme as a whole or to specific areas as appropriate or as needed, always with the overall goals of the publishing house in mind. In some cases such as university publishing, the Publisher reports to a superior body—a board of directors or a faculty committee, and ultimately to the university authorities.

The administrative relationship between a university press and its parent university, indicates a structural relationship with the parent body, be it semi - autonomous, wholly owned by the university, or a purely commercial entity. Azzam (1995:77) indicated that there are university presses which form business units and are structurally autonomous but functionally owned by their respective institutions. They carry out institutional duties and have to pay taxes as ordinary businesses. She cited the case at the University of Indonesia where only the director and manager are government employees. The Press does not receive any funding from government, and its main asset has been the good name of the university. In Indonesia's six premier university presses, all founded between 1969 and 1971, the press directors report directly to the rector of the parent university. In discussing the parent/press relationship, Azzam (1995:169) stated that in general the typical university press in Malaysia is a unit under the chancellery office and is managed by a publications officer directly responsible to

the vice-chancellor and the chair of the publications committee. This committee approves all publications and draws its members from faculty deans, directors of the institutes and centres, the senate, chief librarian, the bursar, and the publications officer who is the secretary.

The view of Thatcher (1994:230) is that almost all university presses function as departments of their universities, with the director reporting to the dean of the graduate school, a vice president for academic affairs, or the provost. The exact positioning of the press within the university's overall bureaucratic structure can have some effect on how it operates. In addition to the business considerations involved (costs of entry into a market, level of competition to be expected, etc), a university press is faced with interpreting its obligations to its parent university by making decisions about where to concentrate its editorial efforts. Therefore deciding what to publish is more complicated in some ways for a university press than a commercial publisher. All presses to some degree feel a responsibility to reflect the strengths of their universities' faculty, but how far they go in making their list a mirror of their university differs considerably from press to press.

2.3.2 Acquisitions and editorial work

The editorial department, in its constant dealings with authors, represents the whole publishing house to the author. The author is interested in what his/her book will look like after a manuscript has been accepted, how quickly it will be produced, what advertising and sales effort will be made, and what payment he/she will receive. But first, the acceptability of the manuscript must be determined, and this is the prime responsibility of the editorial department. Editors read and write reports on them, recommending acceptance, revision, or rejection. Hundreds and often thousands of manuscripts come into the publishing house each year, and every one must be dealt with in this way. The judgement of the editorial department is based on the overall purposes, goals and abilities of the house. A technical publisher, for instance will not take on a cookery book

even though it might look profitable; such a book would not be consistent with his/her reader-author public.

At the same time that the editorial department is deciding on which manuscripts should be accepted, it is also seeking authors and trying to persuade them to accept the publisher. Editors write to potential authors and travel to talk to authors and agents. They read newspapers, magazines and professional journals in their fields of interest, watching to see who is writing on what subjects and what ideas and subjects are currently in the public eye. They talk to specialists of various kinds, get recommendations for subjects and authors, think up projects and seek authors to carry them out. Lastly, they keep in touch with authors whose works have been previously published by the house, inquiring what they will be writing next, encouraging, criticizing and suggesting.

The term ‘acquiring editor’ and other labels such as ‘commissioning’, ‘soliciting’, ‘procuring’ and ‘sponsoring’ are used to designate that special type of editorial work which is devoted to finding books to publish as against copyediting a manuscript. Thatcher (1994) preferred to use ‘sponsoring editor’, which has the advantage of directing attention to the important roles of overseer, cheerleader, and liaison that an editor performs. He quoted the editor-in-chief of Plum Press as saying: ‘The sponsoring editor has the broadest, most general responsibility for each book, from the time it is signed to the time that it is declared out of print’ (Thatcher, 1994:211). For example, it is the editor who establishes the overall schedule within which the particular schedules for production, publicity and sales must be organized. In his view the highest accomplishment of any sponsoring editor is the development of a group of books that relate to each other in an intellectually coherent way such that they form a whole, a list that is greater than the sum of the individual parts.

Apart from building a list, other aspects of the work of the editor involve the editor as a hunter, selector, shaper, linker, stimulator, shepherd, promoter, ally, and

reticulator (Thatcher, 1994:214). These various roles have become necessary for several reasons, including stiff competition between university presses and commercial publishers who have scholarly programmes. It is common for press editors to engage in aggressive acquiring behaviour, involving frequent travel to conventions and college campuses to track down and capture the always scarce quarry of first-rate authors. As selector, for instance, the editor plays the gatekeeping function that university presses carry out in identifying what most deserves to be widely disseminated and in legitimating its status as a genuine advance in scholarly knowledge.

Describing the work of editors, Appel (1994) said manuscripts arrived at their offices because they had been pursuing them or because the authors had written or called on their own. The job of the editor is to obtain outside reports on the most promising manuscripts, to return as soon as possible the manuscripts that do not seem appropriate for their list, and to move into production in a timely manner those works that have been accepted for publication. Sponsoring a manuscript is a way editors feel they can have an influence on their world, make a difference, a way not only of facilitating the dissemination of scholarship by others but also of helping to define the direction that scholarship takes.

Parsons' 1987 study of the selection process in university presses showed that the largest percentage of manuscripts were actively acquired by editors who go to scholarly conventions, browse academic journals, visit campuses, and solicit manuscripts by writing to prospective authors. Thus it is not unusual to find that the publisher has a clear idea not only of the subject of the book that is to be written, but also of its general tone and orientation. In such cases the synopsis becomes much more of a joint endeavour between the editor and the author. Furthermore, there is often some measure of collaboration during the writing process itself, so that the publisher may assure himself or herself that what is being written accords with his/her own notions of what is needed, so that the author may be sure he/she is writing what is wanted.

The task of the editor can be defined very simply: to select and prepare texts for publication, but editorial training is another matter. Unlike most specialists in book production, the editor undergoes no formal training for his work. He/she is almost invariably trained on the job informally. One of the most common tasks performed by the neophyte editor is sifting the mass of manuscripts that arrive at a publishing house each day. The new editor is also frequently expected to do some copy editing, that is, preparing accepted texts for the printer by correcting grammar, spelling, diction and the like, and seeing that the text conforms to standard house style. This may also include desk editing, a stage between copy editing and commissioning, or supervising the progress of books from manuscript to bound copies and working closely with the production/design department, and giving information to marketing and sales staff. At times he/she may be encouraged to entertain one of the house's less important authors or to seek out potentially saleable unpublished manuscripts. After several years of this type of work, the new editor will become—provided the apprenticeship period has been satisfactory—a full-fledged editor, responsible for building and maintaining his/her own list of authors in assigned subjects.

As editor of the ***Cambridge Law Bulletin***, Cohen (1994:140) said many, perhaps most of the manuscripts are invited, a feature which distinguished the ***Bulletin*** from other journals. 'When a criminal law procedure topic is 'hot' due to legislative developments (sentencing guidelines, for example) or because of important judicial developments (restriction on appeals from death row, for example) then I will search my inventory of potential authors and invite an article on a proposed topic'. Other manuscripts are received unsolicited from authors previously published or unknown to us. In all cases, every manuscript is read with the question: 'is there more reason than not to characterize this manuscript as publishable or unpublishable?'

Some manuscripts are rejected simply because the topic is not suitable for the ***Bulletin***, or while it may be suitable, it is in an area where the ***Bulletin*** already has published material, or has in the pipeline, similar material. Other unsolicited manuscripts are rejected because the material is so clearly not well done—poorly written, little evidence of requisite research, poorly analyzed, and the like. Where a manuscript has been solicited, the presumption is that the work is publishable, even though there have been occasions where such a manuscript had to be rejected. In addition to providing form and content to the journal and soliciting, accepting and rejecting articles, the editor also performs what he called 'soft editing'.

By this he meant marking up the script by substituting one word for another, some sentence revision, and the like. As a matter of policy, the ***Bulletin*** does not encourage the multiple submission of manuscripts, but does not disqualify any author who does so. However, failure on the part of the author to disclose multiple submission borders on an unethical practice, especially when disclosure comes at the point of publication of the article by the ***Bulletin***. In the words of the editor 'it leaves a bad taste…that I am likely to remember should the same author seek to publish with us in the future' (Cohen, 1994:143). It is the strong belief of the editor that any prospective author should know something about the journal in which he or she seeks publication.

Until the mid 1940s, it was customary for much manuscript reading and selection to be done not by full-time employees, but by established writers, academics and men of letters who were paid on a retainer or a piecework basis. Literary agents, now called authors' agents, who have in fact been operating in one form or the other since the early years of the twentieth century are back with increased activities. Increasingly they see their task as involving not merely placing completed works or even fully thought out synopses, but also matching the ideas of their authors to the desires of the publishers with whom they come into contact.

2.3.2.1 Gatekeeping function of the press

Parsons (1987) traced the origins of the term 'gatekeeper' to sociologist Kurt Levin beginning in 1947, White in 1950, and Westley & MacLean in 1957. All three brought it into their conceptual model of communications research. He added that all social organizations depend to some extent on the use and control of knowledge, making gatekeeping a form of knowledge control. Placing this in the context of publishing, book publishers engage in a form of knowledge control as they decide on which manuscripts to select and which to reject. If publishers did not have the right of selection, they would be reduced to clerks, publishing all that entered the gates. Neavill (1976:50) posited:

> It is crucial to the dissemination of knowledge that all manuscripts submitted to publishers should not be accepted. If all manuscripts were assured of publication, the channels of dissemination would be glutted with works possessing neither intrinsic merit nor commercial potential, and works for which an audience did exist would sink beneath their weight…It is of course, also crucial to the dissemination of knowledge that works which merit publication on the basis of their content not be rejected. The criteria upon which publishers base their decisions at the stage of assessment are clearly of great importance and interest.

There are hundreds of publishers and new ones are constantly being added but no two of these have identical sets of criteria for assessing manuscripts. Some eagerly accept anything that seems likely to earn a profit. But in most cases, commercial and more especially scholarly publishers, maintain high standards of quality and reject any manuscript, regardless of its commercial potentials, that fails to meet them. To this end nearly all publishers specialize to some extent[4], and most reject manuscripts that fall outside the range and type of works associated with their imprint, no matter how good or well-suited to the lists of other publishers they may be. The diversity of publishers in itself greatly enhances the chances of a worthwhile manuscript finding a publisher.

The manuscript selection process, ideally based on quality of intellect and importance of topic, is perhaps the key to making the university press system workable. In praise of the standards existing in university publishing August

[4]This is termed List building. See Section 2.3.2.3.

Fruge of the University of California Press wrote that all scholarly publishers have performed a social and cultural role by choosing the best and most useful, (a fraction), from the great mass of written manuscripts, and those proposed to be written. He asserted that a key aspect to understanding the gatekeeping process in publishing is to recognize that the demand for editorial time far exceeds its supply. As a result, a priority rule is needed to bring supply and demand into a workable equilibrium. Publishers, it is to be remembered, are not passive gatekeepers, content merely to pass judgement on manuscripts as they are submitted.

Rowson (1994:203) gave guidelines to the editor's intellectual gatekeeping functions: 'stay on top of developments by keeping abreast of major trends in public thinking, new cultural developments, and basic issues of policy.' According to him, reading the ***New York Times*** and the local paper published in the community is for background purposes but also makes it possible to know or come across scholars in your field of specialization. Another way to keep abreast of new intellectual trends and who is leading them is to join their societies, peruse their journals, and attend their meetings. It is possible to start building an acquisitions network with your editorial board and your faculty. From outside the campus community, one could establish a board of visitors composed of leading intellectual and publishing figures. Finally, it is beneficial to meet your public by personally attending academic and professional meetings where your books and journals are being exhibited. It is possible to learn of audience reaction to what you have published. Even more important is to listen to what the visiting scholars have to say about new work in their respective fields, which often leads to new authors.

2.3.2.2 Editorial Boards

All manuscripts that are published require the approval of a faculty board, appointed by the university administration. The faculty panel charged with approving manuscripts sits on a key bridge between acquisition and publication.

Editors may have a manuscript that they like and one that outside readers praise as a contribution to scholarship, but the ultimate decision to publish at university presses rests in the hands of a group of faculty members. This committee, (variously called Board of Syndics, Publications Committee, Board of Trustees, or Editorial Board), usually plays no role in the publishing process until at the very end. Rather than consider an author's prestige or a manuscript's sales potential, they judge only its contribution to scholarship. 'The editorial committee's function is to control The Imprint—to approve the manuscripts that ultimately will bear the university's imprint. Only upon formal committee action can any book appear bearing the name of the university press that is publishing it' (Parsons, 1989:238). The editorial committee is a group normally ranging in number from seven to fifteen, representing major areas of study within the parent university. The composition is diverse, and may consist exclusively of faculty members or a mixture of faculty members and administrators. Members may be appointed for rotating terms, usually ranging between two to five years, with or without thought of the press's list-building areas.

If a manuscript makes it to the editorial committee stage, its chances of publication are exceptionally good. A survey of fifty-one university presses by Parsons (1989:239) revealed that fewer than one in twenty manuscripts presented for approval to editorial committees ultimately are denied The Imprint. It ought to be noted, though, that editorial committees at some university presses have evolved into powerful boards while others basically serve to approve the editors' choices. The latter is what one acquisitions editor called 'pussycat' because it routinely approved all editorial suggestions. Editors develop a loyalty to the manuscripts they choose to sponsor and once they have obtained positive outside reviews from the scholar's peers, they expect the editorial committee to say 'yes'. If the manuscript is threatened in an editorial committee discussion, then the editor often becomes a crusader.

The relationship between editors and the editorial committees, then, at times is one of camaraderie and at other times can be adversarial. A potential for strain exists because editorial committee members rely completely on editors to bring manuscripts to the publishing house. Yet editorial committees have the power, and occasionally use it, to reject a work after an editor may have spent months acquiring the manuscript, obtaining positive outside reviews, and working with the author to make the necessary revisions. As Bartlett Giamatti, once a member of the Yale University Press publications committee wrote:

> I believe a university press is intellectually healthy when a spirit of affectionate antagonism exists between the editorial committee and the house editors … Editors, after all, control the process in a fundamental way; they decide what will and will not enter the system. Editors are also charged with soliciting readers' reports, encouraging projects, dealing with authors. Editors create the agenda for the editorial committee in every sense (cited in Parsons, 1989:240).

Speaking on the role of the editorial board, Edward Tripp, editor of the Yale University Press objected to the use of the term 'affectionate antagonism' with the response:

> It is true that the role of a final arbiter can be crucial, if not necessarily central, to the successful operation of any process of selection. But a faculty editorial committee holds only one of the many keys with which a press tries to lock out mediocrity and lock in quality. That this is the last key to be turned lends the acts of the committee an impressive finality—but their effectiveness depends on what has already happened beforehand. The problem is that the committee, unlike the editors, has not been hanging around the barn. When it finally locks the door, how can it be sure the horse is still inside? (cited in Parsons, 1989:240).

Tripp said that editors are human and thus may suffer from blind spots, too great an empathy with authors, and unreasoned dislikes that may cloud their judgement. At such moments, unworthy manuscripts may storm their defences or good ones slip away. In the latter case, the committee will never hear of them. In the former there is, theoretically a second line of defence. He maintained that as much quality as the committee will see has already been identified or it would not be seeing it.

The committee's role is, in fact, to identify the absence of quality and to pluck the remaining weeds out of the bouquet that editors bring to each meeting. Tripp sees the committee's act as purely negative 'in that if the committee did not exist,

the best manuscripts chosen by the editors would be published anyhow—along with some less good ones'. These sentiments were shared by Mann (1978) when he asserted that whether in a university press or a commercial house the decision to advise publication rests with the editors in the first place. Editors are not likely to waste the time of the board or committee with long lists of ideas or manuscripts that they have rejected out of hand. And so far as the projects that they support are concerned their colleagues expect them to be realistic about the books obtaining a readership and a market.

Depending on the size of the press and the activist nature of the committee, editorial committee meetings range from once each month to only three times a year. Small presses encourage editorial committee members to read at least parts of all manuscripts under consideration. At the middle-sized presses, that procedure is all but impossible because so many manuscripts are considered. At the larger presses, which publish an average of one new title per work day, the editorial committee cannot even divide the work load. The editors who acquired the works therefore present the projects under consideration. No matter who makes the presentation, all editorial committee members have in hand a copy of the dossier on each manuscript consisting of readers' reports, author's responses, sometimes part of all of the manuscript itself, which they may or may not have waded through in preparation for the meeting. During the meeting, the editor or committee member makes a report and brings a recommendation to publish or not publish. If the outside readers are strongly positive and the editorial committee member is enthusiastic, a positive vote is likely to follow. If questions are raised at any stage, it may prompt lengthy discussion, possibly leading to rejection or a vote to delay consideration pending author revisions.

After the manuscript has been accepted and a contract signed on terms that are accepted by both the author and the house, the next stage in the work-flow is the ***real*** editing of the manuscript. Copy editors go over the manuscript carefully for style and content, try to think of the book as a finished work making its way into

the world, and worry about everything from the title page to the colophon. They consider the question of illustrations and diagrams, examine the organization of the book and consider alternatives, mark sections of the manuscript, and make notes that will later be shared with the author. There will then be a session or sessions with the author, after which the author may be asked to revise the manuscript.

The copy editor most probably is not an expert in the subject of the manuscript but Neavill (1976:51) gave these as some qualities: 'He/she should be an intelligent and careful reader, an expert in the mechanics of writing and a connoisseur of style, a helpful and sensitive critic, and an interpreter of the author's work to the designer and the printer'. Usually, if the copy editor is different from the acquisitions editor, the two work closely together on any problems that may arise. At the very least, the copy editor will see the manuscript through production, checking proofs and answering queries of the printer and of the author. He/she also works closely with the designer, and in some cases a designer is assigned to a book at the same time as the copy editor so that design questions can be settled as they come up.

2.3.2.3 List building

List building is the part of the editorial decision that guides the selection and evaluation of manuscripts as well as marketing the book. In general, organization for editorial purposes within scholarly houses is along specialist lines, as it is important that editors should be well informed as to what is happening in the various disciplines that they cover. However, most firms, whilst employing specialist directors, also have higher level co-ordinating editors, who may be titled editorial directors, even publishers, and whose task it is to oversee broad areas of publishing. Whilst such organization may seem obviously desirable to the academic author, it may not be quite apparent to him/her that publishing is a very complicated business enterprise from which the editors are by no means divorced.

In some firms the editors hold a responsibility for the sales of the books which they sponsor, and in no firm do editors operate without careful financial plans. It is therefore an important editorial decision, especially in monograph publishing, to ensure that a balance is kept between particular academic subjects from year to year and that the publishing programme contains a judicious mixture of what might be expected to be fast and slow sellers. It is also important to keep an eye on what may be referred to as the 'branches' and the 'twigs' of subjects, so that too many young twigs are not allowed to grow on an insubstantial branch (BLB, 1976:20).

Pointing to the authors' common preference to publish with presses that have a history of producing titles in related fields, Mitchner (2000) argued that editorial experience with particular disciplines is important. Similarly, production and marketing departments need to be familiar with certain kinds of books, their formats, and their markets in order to create and sell the press's titles with confidence and some degree of success. He posed several questions like: Why don't we just publish 'good' books, saleable books, when and where we find them?; is a list the same thing for every press?; why must lists matter?; and what does a list look like to an author, an editor, a production department, a marketing director, an external review committee? For the young academic it is:

> Tell me about the other books you are publishing that are related to mine, or what other books have you published in this field? Do you have a series in this area? And then there is: My adviser tells me that I ought to publish with such-and-such press because they are very strong in this discipline (Mitchner, 2000:63).

Lists are brand names, registrations of trademark, and other commodities in a label-obsessed culture. They matter to pre-press departments that have never handled a genre of books before so that decisions are made with caution and guided by past established practices, to the marketing department that is trying to stay within budget, and faculty committee members who will want to know how well a new signing will 'fit the list'. Similarly, lists are essential to the editor who needs to develop a dependable network of conscientious readers able to comment not only on the quality of a particular manuscript but also on the 'fit'

between it and their institutional identities. If the match is a bad one or the review negative, an editor in turning down a manuscript can be helpful to an author by recommending presses that are known for their books in that area. Mitchner (2000:66) admonished that whether we like it or not our presses are identified with something. Some publishers are even known for their ineptitude, their rude treatment of authors, their lack of identity, as in 'I don't want to sign with them, their list is all over the place'. It would be wise to remember the necessity of keeping our lists, our identities, our missions defined in a certain way for this can be an essential survival technique.

'The acquisition of manuscripts is the heart of publishing', stated Parsons (1991:45). The other publishing functions—copy editing, book design, marketing, and distribution—could be delegated on a contractual basis, but the one function that cannot be delegated is the decision of what to publish. The first step in the manuscript acquisition process at university presses is the determination of the publishing agenda. Today, few presses can successfully publish books in all disciplines. Instead, most scholarly publishers specialize in selected subject areas as aid to both the editorial and marketing functions. Because of the increasing fractionalization of knowledge, no editor can be at the forefront in all disciplines. By concentrating on limited areas, an editor can better develop expertise in selected areas and thereby become more effective in cultivating and nurturing personal acquaintance with scholars in those disciplines. The editor can, at least superficially, stay abreast of the literature in the selected areas and attend annual meetings of relevant societies.

Another advantage of specialization is that editors can deal summarily with unsolicited manuscripts that fall outside the publishing agenda; this can be a big time-saver. By defining its publishing territory, a press can develop a reputation as a specialist in certain disciplines and thereby achieve the visibility needed to attract the best authors in those disciplines. Specialization by university presses also has marketing advantages. It is more productive and cost efficient to

promote a group of books focused on relatively few areas than a list that is randomly assembled, and consisting largely of 'orphans'—books published without other new titles or a backlist to compliment them. From the marketing point of view then, it is crucial to have a frontlist of new titles sufficiently related to the backlist so that both groups can be promoted together. Publishing a book that bears little relation to the press's list, no matter how worthy that book might be, would force a press to expend an inordinately large percentage of its marketing budget to reach an entirely new audience.

University presses typically determine their areas of specialization on the basis of four considerations: the publishing heritage of the press, the evident strengths of the parent university, the sales potentials of various fields of inquiry, and the scholarly interests of the editors themselves. It is known for a fact that university presses (at least in the US) publish primarily in the humanities and the social sciences with a lesser publishing focus on the natural sciences (Day, 1991; Parsons, 1991; Thatcher, 1993). It is generally true that a university press's list will be strong in many of the same areas in which its parent university's faculty is strong. But the pressures of succeeding as business enterprise as well as the attractions of exciting new intellectual developments will tend to make correspondence between the two uneven. The investment that a press has already made in building a list in a particular field is a major determinant of editorial decision. Thatcher (1994:235) quoted Powell as having said that 'when editors are in the process of signing books, the list that is already in print will impose its own logic on them, in both obvious and imperceptible ways'.

2.3.2.4 Author-editor relations

The editor and the copy editor are supposed to help the author make his/her manuscript more readable and attractive to prospective readers. This is bound to create tension as some authors often feel that editors sacrifice the finer points of scholarship or refinement of style to sales appeal. Editors on the other hand, tend to think that authors are idiosyncratic and esoteric in their style and manner of

presentation, and that they exclude themselves from effective communication with all but a very small fraction of the prospective reading public. Many a battle in the editorial office is fought over saleability versus scholarship or artistic merit, and communication versus precision. The decision to publish or not to publish a book may have a major impact on the subsequent career of an author. Coser (1976:22) commented:

> Many scholarly authors, for example, are fairly young persons still in the process of establishing their academic careers. For them, the publication of a book may make the difference between moving up the academic ladder and receiving tenure; and moving to a less desirable or prestigious department. In such cases the decision of an editor to accept or reject a book, or to reshape it, may have considerable consequences. The editor of the Columbia University Press, for example, may in some instances have as much influence on a tenure decision as the judgement of the author's academic superiors and peers.

Authors frequently grumble about the changes which editors urge them to make, yet most authors expect and desire editorial assistance from their publishers and justifiably feel cheated if they fail to get it. It is a rare manuscript that the attention of an intelligent editor cannot improve. The editor is deeply involved with the work and brings a fresh perspective to it. Faults which remain hidden to the author may be apparent to the editor, and problems which the author has been unable to resolve may yield to another point of view. Sometimes editors have worked closely with authors, helping them to shape difficult manuscripts into publishable form. Neavill (1976:49) asserted that ‘many authors need the advice, prodding, and encouragement the editor provides. This nurturing of authors is no small part of the publisher's contribution to the production of knowledge’.

Mann (1978:14), quoting Altbach, said 'although publishers mediate between those who create knowledge and the intended public, publishing is usually ignored by the intellectual community and little is known about even the most basic facts of the book trade.' Academics rarely have very much knowledge of how publishing works. Some aspiring authors do not know even basic facts such as low print runs resulting in high unit costs and are unable to understand why two books of similar length may be priced differently. There are indications that contributors of journal articles often do not study the particular interests and style

of a journal enough before submission. The need to choose the right journal and try to get the article in the right form and length is often overlooked.

The need for editors to understand their authors was brought out in comments by authors about the many points of detail, which must be dealt with when a book is to be published. Experienced authors, especially scientists, clearly appreciated the great attention to detail that was required of them and of the desk or copy editors. Figures, tables, diagrams, maps, references, indexes and proofs could all easily become points for disagreement and the authors greatly appreciated having a 'personal' editor to whom they could turn if they felt things were not going well. There are numerous possibilities for misunderstandings, disagreements and conflict in relationships, which arise over such personal matters as the writing and publishing of books. 'The more each side understands the others' aims and problems the greater is the likelihood of reaching a compromise when difficulties arise', concluded Mann (1978:69).

Mann suggested that it would be useful if a body, or perhaps two bodies such as The Association of University Teachers and the Publishers' Association together, could bring out a 'plain man's guide' to agreements, which would benefit both sides. The booklet might include useful hints to authors on what to avoid if they wish to publish their manuscripts. He added that if authors could be told, very simply, some of the business problems and administrative difficulties which particularly beset publishers, they would be more inclined to exercise a responsible attitude to the publishers. Further, it would be a very good thing for academic departments to invite an editor to meet the staff and postgraduates informally and to talk to them about how to get published. The ‘New Deal’ between African writers and publishers fits this proposal.

The Nigerian writer Onwuchekwa Jemie writing in the respected ***Guardian*** (Lagos) newspaper in 1987 (Zell, 1999) lumped all publishers together as mostly liars and cheats. Since that time there have been unsavoury remarks by African

writers critical of their publishers, calling them incompetent, crooks, or the well-worn author pronouncement 'my publisher is hopeless'. African writers generally do not seem to hold their publishers in high esteem. For many their expectations have not been fulfilled, and others feel they have been let down by sometimes unacceptable poor production quality of their books. While there are exceptionally good African publishers, the standing of some of their colleagues needs to be criticized. It probably also contributes to the fact that there are still too many African writers and scholars who continue to publish outside Africa, or place their work with some of the multinationals.

Zell (1999) suggested that the solution lay in a dialogue between writers and publishers. The Dag Hammarskjold Foundation and the African Books Collective fulfilled this in February 1998 in Arusha[5], Tanzania, at the 'African Writers-Publishers' Seminar. Termed a 'New Deal' between writers and publishers in Africa, participants looked at publishers' and writers' expectations from each others perspective, contractual issues and writer-publisher relations, African values and African writing. Rowson (1994) advised authors to remember in their dealings with editors and publishers that they have entered a form of partnership in which each party is very important to the other. So while it is their responsibility to place in the publisher's hands all relevant information regarding the potential readership (the market) for their book, it is the publisher's responsibility to translate this into a suitable book price, an economically sound print-run, a decision as to cloth and/or paperback editions, a marketing budget, an attractive design, etc.

Authors must consider publishers as partners, not protagonists. 'Also keep in mind that you (and all authors) are your publisher's most important asset: how your publisher handles your work is obviously of crucial importance to you personally and to your career. Through the medium of scholarship and your

[6]See Appendix 6A for Arusha series of seminars

publisher's appreciation of its significance, you may even become close friends' (Rowson, 1994:207).

Publishing any book entails some negotiations between the author and the publisher. Successful commercial authors can, because of their economic clout, insist on and receive more concessions from publishers than less proven writers. Literary agents exist to represent an author's rights in negotiations with publishers. There are now literally hundreds of literary agents, most of them based in London or New York and very few authors who make their living by writing books do so without the help of an agent. Presumably, the agent might interest a more prestigious publisher, obtain larger advances, obtain higher percentage on royalties and market rights more imaginatively. The relationship between a traditional academic author and a scholarly publisher differs in several ways from other author-publisher relationships. The academic author usually does not expect a large return from royalties, however there are familiar disputes regarding, for example, who decides on the cover design and the title of the book (Clark, 1999; Harnum, 1999).

Harnum after sampling opinion and practices from other university press houses presented the consensus that authors must be clearly informed at the contract stage what their role in cover design is to be. For Clark, what scholarly authors wanted repeatedly came down to two things: speed and marketing. He thought that looking at some of these expectations could help publishers to focus on the increasing need to view attentiveness to authors' expectations as an essential process to be carried out by every member of staff of the press. Keeping authors happy required communication and consensus building in a way that is new to many acquisitions editors.

Jones (1999) discussed the changing relationships between university presses and their authors, pointing out that the changes were geared towards more responsibility to the author. Her findings indicated that between 1980 and 1995,

authors were given more responsibility for providing camera-ready copy, indexing, acquiring permissions, paying reproductions costs, and securing title subsidies. Publishers also try to involve authors in suggesting potential buyers and they give extra support to specialist booksellers who know their markets. Furthermore, the camera-ready copy method requires the author to produce a manuscript neatly typed and set out according to certain rules so that the typed pages themselves can be photographed and the photographic plates used for the production of the book. By this means the author becomes the compositor and the very costly transference of the author's manuscript to a new format is cut out. Some of these burdensome actions may be viewed as cost-cutting measures on the part of the publisher.

2.3.2.5 Peer review

Peer review is an essential responsibility of the scholar for the evaluation of other scholars' work on behalf of the publisher. Rowson (1994:207) said publishers as well as potential authors must rely on the expertise and the goodwill of scholarly colleagues for the execution of this useful, sometimes satisfying, but often difficult task. Considering how valuable a careful, intelligent, and constructively critical review is to the author, he added: 'Most important of all, your effort in reviewing the work of your peers will have made a vital contribution to scholarship and to the all-important process of its dissemination'.

Research into the peer review process started around 1985 reaching its peak in 1994/95 apparently after the formation of Locknet and the institution of the Peer Review Congresses, which started in 1989. The work by van Rooyen (1998) examined the process of peer review in scientific publication by reporting the work of Locknet, an international network for research into the preparation, publication and dissemination of health research. It looked at the objectives of the peer review process, ethical and quality issues raised, and the problems of improving the quality of peer review. It also explored some of the research recently undertaken into peer review. Of particular interest were the International

Congresses on Peer Review in Biomedical Publication held three times in 1989, 1993 and 1997. These congresses sought to stimulate and report research into the peer review process.

Van Rooyen described the editorial process at the British Medical Journal (BMJ), and defined peer review as the process of seeking advice from independent external experts, and a peer reviewed journal as one for which the majority of its published articles have been submitted for review by experts outside the staff of the journal. Placing the process in the overall context of the editorial decision-making, she argued that peer review is about making choices and improving the manuscript before publication, and simplistically, the objective is that good science should be published and bad science rejected for publication. She admitted that the process is strongly subjective as it requires the opinion of experts on the work of others in the same field.

Criticisms levelled against the process are that it is slow (with a turn-around time of between three months and in some cases twelve months), expensive, unreliable because of its subjective element, and open to abuse. Reviewers or editors, for example, favouring prestigious authors can display bias, and clearly the editorial process, which is fair is one which reduces or eliminates as many sources of bias as possible. Among the issues raised to improve upon the process were multiple review to reduce bias, training of reviewers, a system of reward for reviewers, and the provision of some form of guidelines and checklists for reviewers to use when reviewing papers.

Essentially, the peer review process is a quality control mechanism for academic or learned journals and, to a lesser extent, professional or practitioner journals. Evans (1994) provided advice and guidance on the mechanism of the process, stating advantages and disadvantages of the process. Many people are unhappy with peer review and equate it to censorship. They state that there are many instances where an important piece of work has been suppressed because the

established figures within the field have failed to approve the content. This opinion is however in the minority. Another major criticism is that, as far as the author is concerned the conventional peer review process for journals comes a bit late in the day. The research has been done and conclusions drawn therefore trying to build in quality at the end of the process is far too late.

Despite its demerits, the peer review process is central to scholarship and has survived for a number of centuries now (Evans, 1994). Its merits may be listed as allowing an author to claim priority to an idea, validation of author's work, protection from plagiarism, assurance of authenticity, and quality assurance. Together with the International Congresses on Peer Review described by van Rooyen, another effort at improving on the peer review process is through the establishment of PeerNet, an electronically conducted blind review system hosted by the Literati Club of the UK at its website: http://www.literaticlub.co.uk. PeerNet aims at harnessing new technology to support the administration of review, improve the speed of the process, expand individual editor's pool of reviewers, and find new authors, reviewers, and subject experts for the reviewing process.

The issue of promotion and tenure is integrally tied up with the formal peer reviewed publication. The way forward calls for neither the lessening of the importance of research in the criteria for promotion and tenure, nor a turning away from peer review as a means of evaluating the quality and importance of individual research achievements. Rather, an alternative means of achieving these ends needs to be found. The most promising ideas involve the separation of certification and dissemination, combined with the increased utilization of electronic publication and the Internet. A partnership between universities and scholarly organizations or learned societies is one real possibility. An additional step would be an explicit agreement among universities and colleges that appropriately managed certifications posted to Web sites would have equal weight with printed publications in promotion and tenure reviews.

2.3.3 Production and design (Reproduction)

Once the publisher has accepted a manuscript, and any changes in its content as agreed upon by the author and editor have been made, the work is ready to be reproduced. Here ***work*** refers to the creation of the author, and ***book*** is the particular format or edition in which the work is reproduced. The publisher must decide what kind of book to make from the work, a decision shaped by the nature of the work itself or by the kind of audience the publisher hopes to reach. Sometimes a publisher must choose from a multiplicity of possible audiences and formats. William Morris's Kelmscott ***Chaucer*** and a paperback edition of the ***Canterbury tales***, for instance, are the same work, in radically different formats, aimed wholly at different audiences. With a work like ***Robinson Crusoe,*** the publisher's options are almost limitless. It must be decided whether the book should appeal to adults or juveniles; produced as an edition for a popular audience or for scholars; or embellished with an introduction, illustrations, or explanatory notes. The publisher can even tamper with the work itself (without copyright infringement), abridging it, simplifying or modernizing its language, or translating it. The publisher's decisions in these matters largely determine how and by whom the work will be consumed.

Most publishers outsource the binding and printing of the book, but it is part of the editor’s duty to supervise and control the reproduction of the work. The point at which a designer is first involved with a new book varies. It may occur before or after the author has completed the manuscript, the designer receiving either an edited or unedited copy. By then the book’s overall parameters (e.g. format, extent, illustrations, binding, paper) have been planned by the editor and management. In some firms editors personally brief designers while in others meetings are organized, attended by the production team and sometimes the sales staff. The outcome is a production specification, covering the production methods and proof stages to be used, and the time schedule. It is vital for the designer to be given a clear brief by the editor at the outset.

The production department buys composition, paper, printing and binding materials according to specifications it gets from the design department. Few publishers have their own printing plants, and even when they do, the production and printing departments are usually organized separately. The size of the production department will depend mainly on the volume of work as seen in the number of new titles and reprints handled each year. The department must keep track of production schedules and specifications, noting the times at which the various stages of production are due to be completed: manuscript to printer, galleys to editor, galleys to printer, pages to editor, etc. Besides maintaining contact with various printers and binders, designers, editors and authors, the department must maintain an orderly flow of work and quality, at the same time keeping costs down. It must also order paper, cloth and other essential raw materials, at bulk prices where possible.

2.3.4 Sales and promotion

It is universally agreed that book distribution is one of the most difficult problems for publishing, not only in the Third World, but in virtually every country (Altbach, 1998a). The anticipated behaviour of the public is the most crucial element affecting the publisher's decision at the stage of assessment of a manuscript. It is upon this that all economic considerations affecting publication hinge—not only whether to publish a manuscript, but also how many copies to print, what retail prices to set, and the like. It is ultimately the publisher's concept of the audience, whether accurate or inaccurate, that determines the fate of a manuscript offered to him or her.

This is because publishing is in part a sales enterprise so most publishers pay considerable attention to the publicity and distribution of their books and selling in the publishing world is often of a fairly genteel nature, with return on investment coming after several years. Advertisements in appropriate newspapers and journals and direct mail campaigns are means of making information about books available. Specialized books are advertised in academic journals as publishers

try to have their books reviewed in appropriate media, believing that independent reviews help sell books. All these efforts assume the existence of journals, mail lists, book reviews, book trade publications and other media. Most industralized nations are endowed with the basic book trade publicity mechanisms, but the situation in third world nations is much less favourable.

The marketing department, like the editorial department, is in direct contact with the external environment of the house. Its job is to get books to readers, and it must know who and where the potential readers are, and how they can be reached. Most books, however go through wholesalers, bookstores and libraries. Only a few publishers sell directly to the ultimate readers, and it is the duty of the marketing department to inform potential readers about each new book using all the various advertising techniques. Some tried and tested techniques are: space advertising in newspapers, magazines, and specialized journals; direct mail advertising to appropriate mailing lists; exhibition at appropriate specialized or public meetings; or for a very general title, TV and radio advertising. Publicity of various kinds may include news releases, author interviews, and advance information sent through trade publications. The department must have a sales force who makes regular visits to wholesalers, bookstores and libraries. Furthermore, review copies may be sent in advance of the publication date to influential media and individuals.

Azzam (1995:9) quoted the Institute of Marketing definition of marketing as a management process ‘responsible for identifying (market research), anticipating (planning and forecasting), and satisfying customer’s requirements profitably (developing products, price structures, communications campaigns and distribution systems)’. Although profit is predominant in any business setup, and in publishing in particular, the same cannot be said of scholarly publishing, especially university presses. Here, the social profit (return on social investment—that is knowledge) is paramount. The potential readership for each book must be considered and advertising, sales and promotion programme

developed especially for it, working within the limits of a predetermined budget. The adjustment of this budget is usually based on the experience of the marketing manager or the Publisher. Feedback from the marketing department is very important as a source of management information for the entire house. Strangely enough, this is often neglected or even resented by management.

Marketing recognizes a direct relationship between all aspects of the publishing house in the form of attitudes, behaviour and business activities, the delivery of customer-related values, the generation of sales revenues, and the achievement of business objectives. While the adoption of a marketing approach to business development may not guarantee success, failure to do so could lead to eventual business collapse. In publishing, like any other business, marketing has to be the driving force. An excellent example of the effect of marketing is the sales history of the bestseller, Richard Adam's ***Watership Down,*** a fantasy concerning rabbits. It was written and first published in England as a book for juveniles, where it won the leading British award for children's books. It was acquired for American publication by the children's book editor at Macmillan. Then within the publishing house it was decided that the work could appeal to the kind of adult audience that responded to J. R. R. Tolkien's ***Lord of the Rings.*** It was published and issued in the US as an adult book, while appearing simultaneously on Macmillan's children's list. As an adult book it became the second best-selling novel in 1974.

In a rather thought-provoking article on market-led approach to publishing, Grace (2001, 60-61) insisted on the essence of this approach:

> It makes sense for editors and publishers to ask themselves not 'What can I produce? But what do customers want to buy now and what will they want to buy in the future?'… Marketing takes a much broader view (than selling and promotion) and means planning ahead for a profitable future, looking at what customers want now and are likely to want in the future, then providing an appropriate product, promoting it, and ultimately exchanging the product for profit (selling).

A marketing plan is essential for a market-led approach. This should contain objectives that are specific, measurable, achievable, realistic and time bound. For example a publisher may set an objective to increase journal subscriptions

by ten percent by the end of the year, or improve the journal's impact factor by a set point. The plan should include market research (such as readership or author survey); the methods of promotion (direct mail, advertising, etc); the financial implications of any marketing activity, including costs and anticipated returns; and a PEST analysis. The PEST analysis is explained as a marketing model that helps the publisher to anticipate changes (political, economic, social, and technological) in the future environment.

Even though Grace's article focused on journal publication, the implication of the market-led approach is applicable to all genres of publishing, especially university publishing whose products are difficult to reach the target audience. Admittedly, the audience for scholarly books is clear and well defined but the market for these books is split between the many specializations found in academe. Scholars tend to specialize in more and more narrow topics, and scholarly books are increasingly written for more limited audiences. The views expressed concerning the mobilization of all staff in the marketing of the product is also shared by Azzam (1995:12), who submitted:

> The publisher has to be market oriented, producing what the readers want and not just selling what it has produced. The opinions of the marketing department are usually not taken into consideration when making the initial decision to publish. The design, content and the appearance of the book will affect its sale. Therefore, marketing starts even before the title has been commissioned or received by the publisher; in other words—from inception to completion.

This fact is also amplified by Baum (1995:3) when he said that 'publishing is about seeing a market in a manuscript and betting on it'

Success in marketing is dependent on the willingness of publishers to understand the environment within which they operate, to carry out necessary ground work, learning from past experiences, and understanding consumer behaviour. In other words, a proper management of marketing activities must deal with two broad sets of variables: those relating to the marketing mix and those that make up the marketing environment. After acquiring and editing a manuscript and producing the book, the publisher's work is incomplete without making it known to potential readers. In the case of scholarly books with

identifiable readers but small markets, a publisher's success depends very much on their ability to acquire potentially saleable titles and to market them creatively and effectively within limited budgets.

In a very comprehensive treatment of the marketing of scholarly materials, Azzam (1995) presented the ‘marketing mix’ in publishing, identifying two variables, which affect the marketing activities of a press house as those relating to the internal market system and those relating to the marketing environment. The marketing mix consists of the four major components of **product, place/distribution, promotion, and price**. Marketing mix variables are to some extent controllable. These factors are affected in many ways and to varying degrees by the marketing environment variables over which the firm has little or no control.

Except in a few cases, customers are usually interested in the product (book) not who publishes it. It is the author who becomes the brand in their own right, and sometimes it is the look of the imprint that customers remember. Without doubt most scholarly publications are rich in content and customers will look for their readability. Publishers, especially of the developing world, should also be mindful of already established products (of book imports) from the developed world. In any case publishers must know their target customers and understand their needs and expectations and be able to satisfy them.

Under place/distribution, Azzam stressed such key factors as accuracy in orders fulfilment, speed, reliability and economy in dispatch, and the physical protection of the products. Failure in any one of these could lead to lost sales, diminished retail display, increased costs and the loss of confidence by both booksellers and readers. Distribution of books, is therefore, an integral part of the marketing activities in the publishing industry, although its implementation is rather problematic, especially in developing countries where lack of infrastructure makes it difficult. The effectiveness of distribution within the actual market area is

determined by the existence of book distribution agencies. These include bookstores, book departments in general purpose stores, bookstalls in mass market outlets, and book clubs.

Publishers can also distribute books to geographically dispersed consumers by direct mail or by hiring book agents who contact potential consumers in person. Direct mail is suited to the distribution of a limited range of books and has been used effectively by university presses and publishers of professional books to distribute highly specialized books to specific, clearly definable audiences. Another important aspect of distribution is by sending book review copies to potential consumers and those reviewing media most likely to be seen by the book's potential audience. Finally, the publisher can facilitate distribution by issuing some books in series. One of the inherent problems of publishing is that each title normally constitutes a separate product that must be produced and marketed on its own. This problem is somehow reduced when a title is published in a series. Inclusion in a series helps tag a book that might otherwise be lost in a sea of individual titles and gives it a slight headstart in gaining the attention of potential buyers.

Promotion is used to inform, increase public awareness, and educate consumers with the ultimate objective of generating increased profit. The four traditional methods of promotion are advertising, personal selling, publicity and public relations, and sales promotion. For scholarly publishers, direct mail is considered the most powerful marketing tool, yet choosing the right combination makes all the difference. Azzam (1995) highlighted the role played by lecturers who as the main target markets and prospective writers, also influence sales by determining which book is on their students' reading lists.

Price[6] relates directly to the generation of revenue and therefore affects the profit equation in several ways, including buyer's perception and competition in the

[6]See Publishing economics in Appendix 2A

market. A continuous evaluation of pricing decision is an important feedback for future marketing decisions. Scholarly publishers always hold the view that publications should be as inexpensive as possible to ensure wider circulation. This could lead to serious problems if estimates are exaggerated. There are two ways of looking at book publishing costs. The first is by merely looking at what is done in the various operations: editorial, physical manufacture, and marketing and distribution. Editorial costs cover payment to author and salaries or fees for illustrator, editor, translator, designer, and others. Physical manufacturing costs include payment to printer, sales representatives, order clerks, shippers, advertisers, and promoters and the cost of raw materials such as paper, ink, glue, thread, cloth, etc., are put together as marketing and distribution costs.

The second method is a more useful way of analyzing the factors that influence the cost of a book and therefore determine the size of the publisher's profit. The publisher uses this method to determine how many copies of a book should be printed, at what selling price, and what rate of author royalty can be paid. Under this second method, publishing costs may be conveniently separated into: automatically varying costs, which include authors' royalty usually based on the number of copies sold, payments for printing, binding, raw materials, storage and shipping; and unvarying costs made up of editorial preparation and composition, and overhead costs including administration, accounting, taxes and rent. Publishers base their income on selling price, number of copies sold, discount to booksellers, and incidental costs of marketing. As a general rule, the selling price of a book is obtained by multiplying the manufacturing cost by a factor of between 3 and 6 (Smith, 1998:35).

In the hypothetical case of an edition of 5,000 copies of a book selling at ∑3 (where ∑ is a general monetary unit) with 100 copies damaged or given away free, and average discounts calculated at 25%, incidental selling costs at 3%, the net sales income is calculated as below:

Selling price for 4,900 copies @∑3	∑14,700

Less average 25% discount	∑ 3,675
Total paid by purchasers	∑11,025
Less incidental selling costs, 3% of sales	∑ 330
Net sales income	∑10,695

Putting costs against income, it is a general principle that copy costs decline as quantities increase, the basic fact which is illustrated in ***Table 2.2***

Table 2.2: Cost of producing books (in ∑)

	1,000-copy edition	5,000-copy edition	10,000-copy edition
Composition (typesetting)	237.00	237.00	237.00
Presswork and binding	121.00	40.00	746.00
Paper	103.00	500.00	1,000.00
Total	461.00	1,137.00	1,983.00
Cost per copy	0.46	.0.23	0.20

Table 2.3: Selling price and sales income (in ∑)

	1,000-copy edition	5,000-copy edition	10,000-copy edition
Production cost per copy (from Table 1)	0.46	0.23	0.20
Selling price	1.50	0.80	0.75
Average sales income per copy (70% of selling price)	1.05	0.56	0.53
Number of copies available for sale (5% of edition copies)	950	4,900	9,850
Total sales income	998	2,744	5,220
Relative cost (based on 1000-copy edition)	1	2.5	4.5
Relative profit (based on 1000-copy edition)	1	7.5	18

The relationship of cost to profit in editions of different sizes is a key point because for the 5,000-copy edition the cost is 2.5 times the cost of the 1000-copy edition, but the profit would be 7.5 times if all copies were sold. For the 10,000-copy edition the cost is 4.5 times but the profit is 18 times! (These are as shown in ***Table 2.3***).

The cost of production is only one part of the publisher's cost and income has to be calculated to consider the profit or loss on a book. On the assumption that a publisher applies a factor of 3.5 of the manufacturing cost to obtain the unit selling price of a book, an average income sales after discounts to booksellers is 70% of the selling price, and allowing 5% of copies for damage and promotion; the publisher's full cost may be put together as in ***Table 2.4.***

Table 2.4: Full publishing cost (in ∑)

	1,000-copy edition	**5,000-copy edition**	**10,000-copy edition**
Selling price	1.50	0.80	0.75
Number of copies to sell	950	4,900	9,850
Production cost (from table 1)	461	1,137	1,983
Author's royalty (10%seling price)	142	392	831
Advertising (estimated)	100	200	300
Overhead (25%of net sales income in table 2)	250	686	1,305
Full publishing cost	953	2,415	4,418

A method that publishers use when deciding printing quantities and selling prices is that of calculating what is called the break-even-point. This is the number of copies that will have to be sold in order to recover manufacturing costs. The caution is that the break-even-point does not include the exact overhead costs and so should be taken as a rough estimate. To arrive at the break-even-point, the publisher first calculates what margin per copy will be left for meeting

production costs after paying other expenses. That margin figure is then divided by the total production cost. Using the 5000-copy edition as an example:

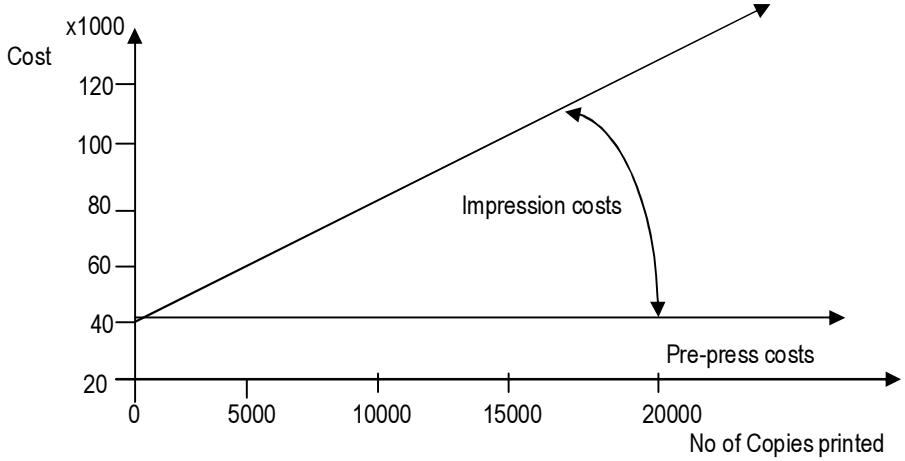
Selling price of book	∑0.80
Less average discount estimated at 30%	∑0.24
Net sales income per copy	∑0.56
Less (per copy)	
Author royalty (10% selling price)	∑0.08
Overhead (25% net sales income)	∑0.14
Advertising	∑0.05
	∑0.27
Margin per copy for paying for production (∑0.56-∑0.27)	∑0.29

Break-even-point: ∑1,137/∑029 = 3,921 copies.

Thus if the book is published in a 5,000-copy edition at a selling price of ∑0.80 and with all other conditions as given, the publisher could recover the manufacturing cost by selling 3,921 copies.

Publishing costs can most usefully be divided into the two broad areas of pre-publication and post-publication, what Montagnes (1998) called pre-press and impression costs respectively. These are the costs related directly to the production of an individual title, from the decision to proceed until the arrival of finished books in the warehouse. Direct costs are in contrast to overhead costs which, represent the cost of carrying out operations and include salaries, benefits, rent of office and warehouse space, telephone and electricity, equipment, administrative and accounting operations. Pre-press or pre-publication costs must be paid no matter how many copies are printed and normally should not have to be paid again if the publication is to be reprinted, provided there are no changes in the text or illustrations. Impression or post-

Figure 2B: Relationship between prepress and impression costs



Source: Montagnes, 1998 (not to scale)

publication costs are direct costs that vary with the number of copies printed and are made up of paper, press time and finishing (binding). The relation between the two direct costs is shown in ***Figure 2B.*** In the graph, the total cost of printing 5,000 copies is ∑60,000 at a unit cost of ∑12. At 15,000 copies, the total is ∑100,000 bringing the unit cost is down to ∑6.67

The corollary of this cost structure is that, while the total cost rises with the number of copies printed, the cost per copy decreases as the print run increases. Pre-publication expenditures cover context acquisition, editing, design and illustration, manufacturing and initial marketing and selling costs. Post-publication costs include author royalties, distribution and order fulfillment, after launch marketing and selling costs. A model of publishing project economics is provided in Appendix 2A (Follett, 1995:88).

Parsons (1991) admitted that because sales are an indication of the vitality in scholarly areas, university presses look at sales figures when determining the rise and fall of subject areas. A book that makes little contribution to knowledge usually will not sell, and a book that does not sell will be unable to fulfil its purpose of satisfying intellectual hunger. Income, whether from the sale of volumes or rights, can be generated only by successful marketing, and the right

products to market can be identified only by accurate market research. Yet these are areas of particular difficulty for publishers. Quite simply, the huge numbers of diverse titles make practices that are common in other consumer goods industries virtually impossible in book publishing.

The book trade carries out very little large-scale quantitative research, except Reader's Digest and Time-Life, to mention just two, who do extensive research on major new projects. However, for the most part publishers rely on the evidence of their own and their competitor's sales figures with similar products. Scholarly and educational publishers rely on the views of specialist readers, while children's fiction publishers use panels of school children, and qualitative research using discussion groups of parents are used for children's reference books. In general, most titles rely heavily on the publisher's 'nose', and the market is reached by publishing the book, not by research into customer attitudes and preferences.

At four to five percent or at best ten percent of net revenue, the promotional budget for many books is just inadequate. With such small expenditure and such a diversity of titles, the focus of publishers' efforts with consumer books is directed to the book trade by persuading booksellers to subscribe and display, hence the trade catalogues, advertisements in the trade press, point of sale materials and quantity discounts. Media tie-ins are not an absolute guarantee of a book' success, but they do provide a level of promotional exposure for author and title beyond any publisher's pocket, and the success of filmed and televised fiction and non-fiction series bears witness to this. There is very little direct television advertising for books, though they do enjoy the knock-on effect from newspaper advertisements for serialisations.

By far the largest expenditure on consumer advertising for books is made by the book clubs—also with a knock-on effect for the trade sales of current bestsellers and stock titles. Outdoor advertising on billboards and bus shelters has been used effectively with some types of books, for instance road atlases. Direct mail

promotion is used at one extreme for very big illustrated reference books, notably from Reader's Digest, and at the other end for books aimed at identifiable special interest groups, business books being a particularly good example. Some of the heaviest promotional expenditures are made by educational and scholarly publishers, who know that they have to get their materials into the hands of decision making teachers and lecturers. To this end they will undertake very heavy direct mailing, the distribution of free or inspection copies and the direct representation of their products in schools and at exhibitions and conferences.

A current feature among university publishers is the use of the Internet to market scholarly books and journals. Scholarly publishers have always been able to target their potential market accurately, but the traditional sales and marketing mix of mailing, reviews in specialist journals, conference attendance and trade sales forces, not to mention trade discounts—has been under pressure as sales have remained static. Now for the first time cost-effective database marketing is within the publisher's reach, enabling it to build up a more detailed profile of the academics who control library purchases, and reach them more effectively than before through bought-in lists. Although subject catalogues are still being printed and mailed, electronic marketing will play a growing role, providing far more information on each title, including sample chapters, for example, than the printed catalogue can provide. There is more active promotion through closely targeted e-mail newsletters, which are gradually replacing the expensive flyer for announcing new small groups of titles or series.

According to recent statistics from the Books & the Consumer Survey, conducted by Book Marketing Ltd., consumers spent an estimated £2.04bn on books in 2000, an increase of six percent on 1999[7]. But there was evidence of a move away from high street retailers, with the growth driven by direct purchasing, most notably over the Internet. The survey indicated that consumers bought an estimated 13million books via the Internet in 2000, worth more than £100m or four percent of the overall market. A similar survey by the German book retailers'

association reported on Cnet that in 2000, German online booksellers saw sales rise to DM378m (£117m) from DM165m (£51m). The number of German companies that sold books online rose 71% to 2,149. About 20% of them said their online activities were profitable. This more direct grip on the market could compensate for the virtual exclusion of scholarly books from booksellers' shelves, and make publishers hold or even cut trade discounts to an acceptable level, despite the current pressure from powerful chains and library suppliers to increase them.

Summary

The chapter presented issues in contemporary scholarship involving the academic author as the originator of ideas, and the scholarly publishing process as a quality control mechanism overseen by the publisher; making the university press serve a prominent gatekeeping role in the scholarly communication process. At the centre of the academic reward systems is the maxim 'publish or perish', which is wide spread in all scholarly communities. The academic journal and scholarly monograph are the products of scholarly research meant to record knowledge and ideas and inform scholars. It recorded the concerns about quality in scholarship seen in the number of published titles, their rising costs, and the peer review process. The potentials of ICT in the form of electronic publishing, lower production costs, and print on demand were highlighted. It reviewed the internal processes of university press publishing covering administration, acquisitions and editorial (editorial board, gatekeeping functions, list building, author-publisher relations, and the peer review process), production and design, and marketing/promotion and distribution.

[7]Bookseller's twice weekly Bulletin of 8th and 24 May 2001 available at www.thebookseller.com