

**THE UNIVERSITY OF NEW MEXICO PRESS  
AUDIT OF BUSINESS PRACTICES AND PROCESSES**

**THE UNIVERSITY OF NEW MEXICO**

**Report 2016-08  
March 27, 2017**



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## ABBREVIATIONS

AAUP .....	Association of American University Presses
APFDIII.....	Associate Provost for Faculty Development and International and Interdisciplinary Initiatives
DFARs.....	Defense Federal Acquisition Regulations
Editor's Handbook.....	UNM Press Acquisition Editors' Handbook of Standard Operating Procedures
FARs.....	Federal Acquisition Regulations
IA.....	University of New Mexico Internal Audit Department
Internal Audit.....	University of New Mexico Internal Audit Department
OMB.....	Office of Management Budget
P-Card .....	Purchasing Card
Press.....	University of New Mexico Press
SARM .....	Standard Accounting Resource Manual
SOP.....	Standard Operating Procedures
UAP.....	University Administrative Policy and Procedures Manual
UPC.....	University Press Committee
University.....	University of New Mexico
UNM.....	University of New Mexico
UNM Banner.....	UNM Banner Finance Accounting System

## EXECUTIVE SUMMARY

### Background

Founded in 1929, the UNM Press is the largest book publisher in New Mexico. The mission of the UNM Press is to publish works of scholarship in the arts, humanities, and social sciences that reflect the strengths of UNM in those areas. The UNM Press is world-renowned as the publisher of such authors as Tony Hillerman, Ana Castillo, Rudolfo Anaya, and Pat Mora.

The audit was initiated due to a complaint received by the UNM Internal Audit Department (IA) regarding various allegations of the UNM Press's business and editorial practices. The UNM Internal Audit Department focused on addressing the allegations in the complaint and reviewed certain other business processes.

### UNM Process for Discontinuation of Publication

UNM Press does not have written procedures for discontinuing a publication in either the UNM Press Acquisition Editors' Handbook of Standard Operating Procedures or the Faculty Handbook for the University Press Committee. Every organizational unit at the University of New Mexico is expected to comply with the institution's *University Administrative Policies and Procedures Manual*. In addition, each campus unit is required to document the policies and rules specific to its operations.

UNM Press should develop written procedures for discontinuing a publication. The procedures must include a summary of books printed, sold, and left in inventory at the time of discontinuation, and the cost/profit summary of that publication.

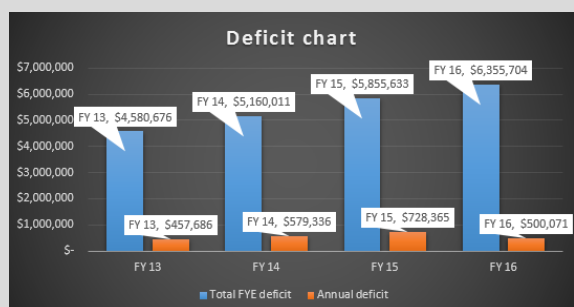
### UNM Press Financial Review

Aside from the specific allegations, IA completed a financial analysis and review of deficit reduction plans for FY13- FY16. The UNM Press has experienced an increasing deficit over the years. IA financial analysis verified compliance with UAP 7000, Budgets and Reserves, which requires that any department in deficit at

*The following areas of the complaint were not substantiated:*

- *The final decision by the UNM Press to discontinue publication was reasonable rather than retaliatory action.*
- *IA did not find any indications that published footnotes were changed after the final read through and prior to publication.*
- *IA did not find any indication that the UNM Press intentionally delayed payment to contributor.*
- *IA did not find evidence to continue investigation into non-payment for book cover contribution.*

Key financial data such as sales, inventory, agreements, accounts payable, etc., including Reprint Committee decisions should be retained for at least 4 years.



Source: Banner

*Four year average deficit was \$566.4 thousand.*

The University Senior Leadership Team should provide stronger guidance as to how the Press is going to balance its budget and how much subsidy the University is going to provide, if any, to keep the UNM Press a viable entity; or, in the alternative, if the Press should continue to operate.

The UAP 7000 should be revised to require departments to prepare a realistic deficit reduction plan for ongoing deficits rather than granting exceptions year after year.

The UNM Press should update their procedures to include a documented log for all works submitted to the Press for publication consideration. The log should be evaluated on a regular basis to ensure that all submissions are reviewed timely and that final outcome is communicated to the author.

fiscal year-end submit an approved written deficit reduction plan to the Office of Budget and Planning. Any exception to the policy must be formally requested and approved by the cognizant vice president, with a copy to the Office of Planning, Budget and Analysis.

Although UNM Press complied with the requirements of UAP 7000 by reporting the deficit to the cognizant EVP and obtaining an exception to the requirement to have a deficit reduction plan and filing it with the Office of Budget and Planning, it is important to note the ongoing and growing deficit at UNM Press on a yearly basis requires a realistic deficit reduction plan.

The EVP for Finance and Administration should work with the Policy Office to review UAP 7000 with regard to granting exception for ongoing deficits.

#### **UNM Press Review of Submitted Work for Publishing Consideration**

The complaint received by the UNM Internal Audit Department alleged that a book proposal was submitted to UNM Press and ignored.

IA found that the UNM Press has written procedures for publication selection in their UNM Press Acquisition Editors' Handbook of Standard Operating Procedures (Editor's Handbook). The Editor's Handbook details the process from receipt of a query letter with either a rejection or UNM Press Committee's approval to publish.

It appears that in this instance, the submitted work did not follow standard operating procedures and the author was not notified of the final outcome. The UNM Press does not have a log of all works submitted for publication consideration, and therefore cannot be certain that this has not happened in other instances. However, should it occur, it is probable that an author would express concern as in this case. Absent a way to track submission from the time of receipt through correspondence of final decision, it is possible that similar situations may occur, leaving the UNM Press open to unfavorable reviews.

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## **INTRODUCTION**

### **BACKGROUND**

Founded in 1929, the UNM Press is the largest book publisher in New Mexico. The mission of the UNM Press is to publish works of scholarship in the arts, humanities, and social sciences that reflect the strengths of UNM in those areas. The UNM Press is world-renowned as the publisher of such authors as Tony Hillerman, Ana Castillo, Rudolfo Anaya, and Pat Mora.

UNM Press received a \$250,000 yearly subsidy from the University in FY12-FY16; that practice has been suspended, beginning in FY17, and a request to increase that amount has been denied. The UNM Press has experienced an increasing deficit over the years (see the UNM Press Financial Analysis section below for FYE deficit totals in FY13-FY16). Decreasing sales have also played a role in accumulation of debt. The UNM Press's new title output ranged from 62 to 84 per year between FY13 and FY16, and averaged 72 new titles annually over the four-year period.

The table below is a synopsis of the UNM Press Operating Ledger FY13-FY16 and resulting FYE reserve balances (deficit).

INTRODUCTION

	FY13	FY14	FY15	FY16
<b>Revenues</b>				
Endowment and Non-Endowment Gifts	22,000	2,743	-	595
Other Revenue	59,316	52,619	93,649	78,778
Sales and Commissions	2,400,441	2,430,283	2,237,182	2,683,901
Transfers and Allocations	250,000	275,000	312,000	247,515
<b>Total Revenues</b>	<b>2,731,757</b>	<b>2,760,645</b>	<b>2,642,831</b>	<b>3,010,789</b>
<b>Expenses</b>				
<u>Labor</u>				
Benefits	382,439	458,685	489,402	498,522
Other Expenses	926	1,250	1,851	300
Staff	1,196,762	1,265,177	1,335,303	1,367,995
Student	36,173	47,486	53,622	39,376
<b>Total Labor</b>	<b>1,616,300</b>	<b>1,772,598</b>	<b>1,880,178</b>	<b>1,906,193</b>
<u>Non-Labor</u>				
COGS	304,303	259,078	230,810	306,285
Other	56,603	111,994	83,202	98,511
Professional Services	143,958	80,093	130,055	91,150
Rent	159,383	162,943	180,101	164,373
Services and Fees	601,376	614,618	588,866	632,984
Supplies	56,421	67,275	55,855	71,533
Travel	37,319	45,094	45,136	45,214
Writedown Obsolete Inventory	213,780	226,288	176,992	194,617
<b>Total Non-Labor</b>	<b>1,573,143</b>	<b>1,567,383</b>	<b>1,491,017</b>	<b>1,604,667</b>
<b>Total Expenses</b>	<b>3,189,443</b>	<b>3,339,981</b>	<b>3,371,195</b>	<b>3,510,860</b>
<b>Revenues over (under) expenses</b>	<b>(457,686)</b>	<b>(579,336)</b>	<b>(728,364)</b>	<b>(500,071)</b>
Reserves, beginning of the year	(4,122,989)	(4,580,675)	(5,160,011)	(5,855,633)
Reserve Adjustment*			32,742	
<b>Reserves, end of year</b>	<b>(4,580,675)</b>	<b>(5,160,011)</b>	<b>(5,855,633)</b>	<b>(6,355,704)</b>

Source: Banner

\*Non-Endowed Spending (fund 2U0007)

## PURPOSE AND OBJECTIVES

The audit was initiated due to a complaint received by the UNM Internal Audit Department regarding various allegations of the UNM Press's business and editorial practices. The UNM Internal Audit Department focused on these objectives to address the allegations in the complaint and to review other business processes:

- What are the UNM Press's procedures for hiring outside readers to review manuscripts submitted for publication?

- What UNM Press policy/procedures/documented guidelines govern when a book is discontinued?
- What UNM Press policy/procedures/documented guidelines govern when a book is selected for publication?
- What is the UNM Press's financial position for the last three fiscal years?
- How many P-Card holders and transactions has the UNM Press had in FY2016?
- Does the UNM Press pay book contributors in a timely manner and according to their contracts?

## **SCOPE AND PROCEDURES PERFORMED**

Our audit focused on obtaining audit evidence to substantiate the various allegations and to determine if UNM Press is following their own editorial and business policies. Fieldwork included review of fiscal years 2013-2016. Procedures performed are included as follows:

- Discussions and interview with the UNM Press Director and the Manager of Administrative Operations.
- Review of UNM Press policies on Author Royalty and Vendor Payments Editorial Handbook, and the Faculty Handbook for the University Press Committee.
- Review of author and contributor payments, financial information for FY14, FY15 and FY16 for several books, and P-Card transactions.
- Financial Analysis/reporting regarding UNM Press's gross revenue and deficit balances for fiscal years 2013-2016.

Our work focused on specific concerns expressed via the UNM hotline, as well as the overarching processes that govern broader areas of operation at the UNM Press. Although none of the specific concerns were substantiated as a result of the investigative audit, IA did find and report on areas for improvement as discussed below in the observations section of the report.

The audit of UNM Press Business Practices and Processes was conducted in conformance with the International Standards for the Professional Practice of Internal auditing established by the Institute of Internal Auditors.



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## OBSERVATIONS, RECOMMENDATIONS, AND RESPONSES

### PROCESS FOR REVIEW OF SUBMITTED MANUSCRIPTS

The UNM Press has written procedures for the review of submitted manuscripts in their Editors' Handbook. Per the Editors' Handbook:

“UNM Press acquisitions editors are charged with selecting potential book projects that best fit the Press's traditional areas of publishing specialty. Besides internally evaluating project proposals and manuscript submissions, editors may commission manuscripts and work closely with prospective authors to develop projects for submission. In addition, external and independent assessment of a manuscript's merits by impartial authorities is an essential final stage in the decision to publish at UNM Press.”

In addition to reviewing the Editors' Handbook, UNM Internal Audit discussed specific questions with the Manager of Administrative Operations, and reviewed contracts and payments to an outside reader. UNM Internal Audit does not find areas for improvement in this process.

### PROCESS FOR DISCONTINUATION OF A PUBLICATION

The complaint received by the University of New Mexico Internal Audit Department from one author alleged the UNM Press retaliated “by the purging of my UNM Press Gila book, which had sold over 20,000 copies (November 4, 2015 e-mail) or 18,000 copies (per his e-mail November 30, 2016).”

According to the UNM Press, *Gila Wilderness: A Hiking Guide* was declared out of print in September 2007 and UNM Press does not customarily archive the details of each individual reprint decision made by the Reprint Committee. This particular book had life time net sales of 11,674 print copies plus 9 e-books. This book was first published in 1988, and last reprinted in June 1999; it took from 1999 to 2007, or eight years, to sell through the last run of 1,713 copies. According to the UNM Press inventory report, the ending inventory for this book at June 30, 2004 was 502 books. On June 30, 2005, it was 312 books; on June 30, 2006, it was 127 books, and on June 30, 2007, it was 0 books. This data indicates that over the last three fiscal years, 190, 185 and 127 books sold respectively in FY2005, FY2006 and FY2007. The Reprint Committee took into consideration the declining sales data and the age of the guide (20 years) in their decision to not incur additional costs to reprint *Gila Wilderness: A Hiking Guide*. The data analysis and the final decision taken by the UNM Press appears to be reasonable rather than any retaliatory action.

However, UNM Press does not have written procedures for discontinuing a publication in either the Editors' Handbook, or the Faculty Handbook for the University Press Committee. Every organizational unit at the University of New Mexico is expected to comply with the institution's *University Administrative Business Policies and Procedures Manual*. In addition, each campus unit is required to document the policies and rules specific to its operations. Furthermore, UNM Press does not customarily archive the details of each individual reprint decision made by the

Reprint Committee. UNM Press bases their decisions for discontinuing a publication on many considerations such as declining sales, age of publication, etc.

In the absence of a written procedure, authors who have their works discontinued for publication may feel that they have been treated unfairly or retaliated against. These authors may discuss these hard feelings with other literary professionals or enter into civil litigation, which could harm UNM Press's reputation.

### **Recommendation 1:**

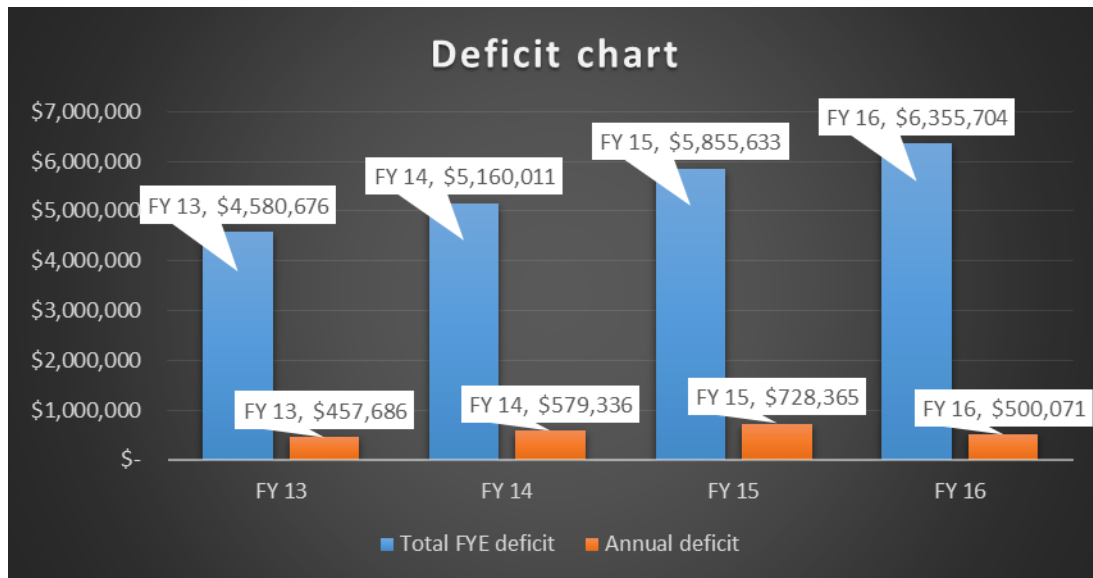
UNM Press should develop written procedures for discontinuing a publication. The procedures must include a summary of books printed, sold, left in inventory at the time of discontinuation, and the cost/profit summary of that publication. Also, key financial data such as sales, inventory, agreements, accounts payable, etc., including Reprint Committee decisions, should be retained for at least four (4) years.

### **Response from UNM Press Director:**

<b>Action Items</b>
<i>Targeted Completion Date:</i> August 31, 2017
<i>Assigned to:</i> Manager, Administrative Operations
<i>Corrective Action Planned:</i> UNM Press management agrees with the finding and will develop comprehensive written procedures for discontinuing a publication and maintaining financial data in accordance with UNM records management policies. Procedures will include decision authority for discontinuing a publication, factors to be taken into account when considering discontinuing a publication, and documenting decisions to discontinue a publication.

## **UNM PRESS FINANCIAL REVIEW**

UNM Internal Audit reviewed financial information for the UNM Press for FY13 through FY16. The Press has historically experienced a deficit. A summary of this information is presented below:



Source: Banner

University Administrative Policy and Procedures Manual Policy 7000, Budgets and Reserves, states:

#### 4.2 Year-End Deficits

If a department anticipates a year-end deficit, the department head must notify his or her dean or director of the estimated deficit as soon as he or she is aware of the projected deficit. The dean or director must identify funds to cover the deficit or the department's next fiscal year budget will be reduced by an amount sufficient to cover the prior year's deficit. The department head must also submit a plan for resolving the causes of the deficit. Exemption from this process requires written approval from the cognizant vice president with a copy to the Office of Planning, Budget, and Analysis or the HSC Budget Office.

UNM Internal Audit requested to review UNM Press's current deficit reduction plan and was informed they were not required to provide one because they requested and received an exception for FY13-FY15. The approved exceptions noted depressed book sales as the main reason for the deficit balances. The exception states the following:

According to a FY15 end-of-year report issued by the Association of American University Presses (AAUP), university press net sales were down 3.9% and net sales for university presses in our sales category (\$1.5M to \$3.0M) were down 6.9% from the previous year compared to our 5.9% decline. Also, for FY15, 66% of all university presses and 58% of university presses in our sales category reported net sales below budget last fiscal year. On a positive note, the Press's operating expenses were almost 5% below budget and e-book sales continued to grow and increased by more 6% from the previous year.

Audit fieldwork was completed prior to the deadline to submit a deficit reduction plan or obtain an exception for the FY16 deficit; however, a memorandum from the Associate Provost for Faculty Development and International and Interdisciplinary Initiatives (APFDIII) setting out the “University Press Directors Priorities and Goals for FY17” was provided. The memorandum informs that although University Presses were not designed to be profit centers, should the UNM Press continue to operate as it has historically the annual deficits would continue to be about \$700,000 per year. It was indicated that the University could not support such losses. As a result, the APFDIII would be working with a financial representative from the Provost’s Office and the UNM Press Director to seek ways to cut expenses and raise revenues.

UNM Internal Audit met with staff from the Provost’s Office and confirmed that the UNM Press received financial support in prior years from the University; however the practice of providing a \$250,000 subsidy has been discontinued, adding to the UNM Press deficit. Even with the subsidy of \$250,000 a year, the UNM Press deficit has increased by \$2.3 million, or at an average rate of \$566.4 thousand per year from July 2012 through June 30, 2016. Currently, the University has established a working group to review and discuss the UNM Press operations. The group first met in April 2016, however has not met since.

The University Administration recently employed the help of a consultant to review UNM Press’s operations in an attempt to identify areas for improvement, whether by expense cutting measures or potential new or increased revenue streams. The Director of University of Michigan Press completed a review in November 2015 (see Attachment A for the full report). Some of the main suggestions were to:

- Consider sharing warehouse space with University Libraries.
- Explore the possibilities of providing publishing services to other university entities. This would require exploring collaborative University-wide efforts with faculty and students to identify their publication needs.
- Appeal to the New Mexico Legislature for monetary support, given that the UNM Press can justly claim to be the State’s publisher, and much of its output is aimed at reinforcing Southwestern cultural and historical identification and promoting New Mexico.
- Reexamine the Press’s commitment to highly illustrated color books given the high cost to publish them.
- Consider reevaluating which editorial, design, and production processes to keep in-house, and which may be more economically outsourced (i.e. Typesetting).
- Market their capacity to provide affordable and open educational resources to other schools and institutions.

UNM Press complied with the requirements of UAPP 7000 by reporting the deficit to the cognizant EVP, obtaining an exception to the requirement to have a deficit reduction plan, and filing it with the Office of Budget and Planning. However, it is important to note the ongoing and growing deficit at UNM Press on a yearly basis must require a realistic deficit reduction plan.

**Recommendation 2:**

The University Senior Leadership Team should provide stronger guidance as to how the Press is going to balance its budget and how much subsidy the University is going to provide, if any, to keep the UNM Press a viable entity; or, in the alternative, if the Press should continue to operate.

**Response from the University Senior Leadership Team**

<b>Action Items</b>
<i>Targeted Completion Date:</i> July 31, 2018
<i>Assigned to:</i> BLT Committee
<i>Corrective Action Planned:</i> A subsidy budget proposal is currently under consideration by the BLT committee.

**Recommendation 3:**

The EVP for Finance and Administration should work with the Policy Office to review UAPP 7000 with regard to ongoing deficits. The policy should be revised to require departments to prepare a realistic deficit reduction plan for ongoing deficit rather than granting exceptions year after year.

**Response from the EVP for Finance and Administration**

<b>Action Items</b>
<i>Targeted Completion Date:</i> July 31, 2017
<i>Assigned to:</i> Policy Office
<i>Corrective Action Planned:</i> The Policy Office is amending Section 4.2, Year-end deficits, of the policy 7000 to eliminate granting exception to the requirement to have a realistic deficit reduction plan.

**UNM PRESS P-CARD ACTIVITY**

The UNM Internal Audit Department has recently investigated several incidents of improper use of the University P-Card in other departments. The UNM Press has nine P-Card holders with transactions totaling approximately \$130,000 in FY16. IA performed a cursory review of all P-Card activity for the UNM Press for FY16 (through 6/9/16) for improper use of the P-Card and

found no exceptions. The UNM Press uses their P-Card efficiently and appropriately to purchase office supplies, computer supplies, travel expenses, and other miscellaneous transactions. IA does not have recommendations for improvement of UNM Press's P-Card purchasing processes.

## **UNM PRESS FINAL REVIEW/AGREEMENT FROM AUTHOR PRIOR TO PUBLICATION**

The complaint received by the UNM Internal Audit Department alleged that published footnotes on a specific book were changed after the final read through and prior to publication. The UNM Press SOP includes a checklist titled "Instructions for Proofreading Final Page Proofs" that accompanies the final draft sent to the author for review. The checklist requires confirmation by way of an official mark by each item and a final sign off by the author. A specific line item reads "Check that all endnotes/footnotes are present, accurate, and consistently formatted; check that all endnote/footnote numbers are present and properly sequenced."

UNM Press sent the final version of the manuscript, for the book mentioned in the complaint, to the author for review, along with the final page proof checklist. The checklist was completed by the author in its entirety and signed and dated, indicating that the author confirmed accuracy of the information. IA did not find any information to substantiate the allegation.

## **UNM PRESS LATE PAYMENTS ANALYSIS**

The complaint received by the UNM Internal Audit Department alleged the UNM Press did not pay authors and contributors in a timely manner. IA reviewed 14 author and contributor contracts and payments, and found that one contributor was paid more than one year (450 days) after the contributor's work was accepted for publication.

The UNM Standard Accounting Resource Manual states the following:

Requirements of the State Purchasing Act apply to the University of New Mexico, as well as the Federal Acquisition Regulations (FARs), the Defense Federal Acquisition Regulations (DFARs), and the Office of Management Budget (OMB) principles A-110 and A-21. Acceptable methods for purchasing goods off campus include Purchase Orders issued by the UNM Purchasing Department, the Direct Pay Request, and the Purchasing Card. These documents are contracts that obligate the University to pay the vendor within 30 days of receipt and acceptance of the goods or services.

The UNM Press discovered that the contributor had not been paid from a colleague of the contributor. During review of supporting documentation for the payment, IA found that the contributor did not provide the required W-9 tax information to the UNM Press in a timely manner. This contributor lived out of state, and did not have email or a mobile phone, which contributed to the reason for the delayed receipt of the required W-9 form. As a result of the W-9 not being provided to UNM Press on a timely basis, the payment was delayed until the W-9 was

received. IA determined that it was not the fault of UNM Press that the payment was made late and this portion of the complaint was unsubstantiated.

## **UNM PRESS DISPUTE REGARDING A BOOK COVER ART WORK**

The complaint received by the UNM Internal Audit Department alleged the UNM Press did not pay an author for an engraving work of art for the Abbey in America book cover. The complainant indicated that he also provided an engraving for a second book published by UNM Press, Finding Abbey, by a different author. On September 3, 2014, the UNM Art Director introduced the complainant to another UNM Designer who was designing a book on Abbey. On September 4, 2014, the complainant wrote an email to the Designer, stating:

“It was great to speak with you about the other Abbey project. The book sounds wonderful. I am happy to help out. Here is the reference photograph I mentioned. I can use the same size engraving plate and position the body similarly. I can also use the same background motif. I’ll look around for other images, but this one would probably work. It was my back-up for the cover of my Abbey book.”

On September 18, 2014 the complainant indicated in an e-mail to the UNM Press Director that stated:

“I received the cover for the ‘Finding Abbey’ from Lisa. I was happy to contribute graphically to that project as well.”

On September 25, 2014, the UNM Press Designer sent an e-mail to the complainant, stating:

“Would you please reply to this e-mail stating that you permit UNMP to print the cover work for unlimited worldwide permission? Your work would only be portrayed within the context of this title.”

On that same day, the complainant replied:

“...Yes I give permission to UNMP to print the cover work for unlimited worldwide permission...”

However, the Author never indicated in e-mails we reviewed that he was contributing art work at no charge as assumed by the UNM Press Art Director, nor did he name his price for the contribution. Furthermore, September 30, 2014, the UNM Press Book Designer e-mailed to the complainant that read:

“Dear John, Hope this message finds you well. Please see the following email from the author of Finding Abbey, Sean Prentiss: I’m thinking since I Photo shopped your image a bit, I’d be happy to send him the art sans type, if it’s OK with you, of course.”

The following message was imbedded in this email:

“John: First off, thanks for the wonderful cover for the book. I love it. So does everyone I showed it to. You did a great job. Also, I’m considering printing off a copy without any words/my name/title on it to hang on my wall. Would you be willing to share a TIF/JPEG of the image? Either way, thanks so much for incredible image. Much thanks, Sean Prentiss, Assistant Professor of English, Norwich University....”

On September 30, 2014, the complainant responded to the UNM Press Book Designer:

“Hi Lila! – Yes sure that is fine! Hope all goes well! – All Best! John”

Therefore, the engraving was accepted in September 2014; however, the complainant expressed concern about non-payment for the engraving in May 2016.

Based on above e-mail analysis, IA does not find any reason to continue any further investigative work on this issue.

## **UNM PRESS REVIEW OF SUBMITTED WORK FOR PUBLISHING CONSIDERATION**

The complaint received by the UNM Internal Audit Department alleged that a book proposal was submitted to UNM Press and ignored. The author reported that he received an email from the UNM Press Director confirming receipt of the submission and notification that the submitted work had been passed to the editorial department for review and consideration; however, the author reported that he had never received notification of the final outcome.

The UNM Press confirmed that the book Outstanding Contemporary Women Poets was received via email by the UNM Press Director in January 2015. The Press Director forwarded the book to the UNM Press Senior Acquisitions Editor for review and publication consideration. There was no action taken on the submission, and no further communication was sent to the author to inform of the outcome.

IA found that the UNM Press has written procedures for publication selection in their Editors’ Handbook. The Editor’s Handbook details the process from receipt of a query letter to either the rejection or University Press Committee’s approval to publish. Per the Editors’ Handbook:

There are three factors that impact whether a project should be pursued for publication by the Press: appropriateness for the UNM Press list, quality of scholarship and/or narrative, and salability.

UNM Press Standard Operating Procedures states the following:

Proposals generally follow one of two tracks. Upon reviewing a proposal, the acquisition editor to which it’s assigned either (1) rejects it, notifies the author, and files the rejection documentation or (2) believes the project has merit, enters the



project into Pressworks (the Press's title management database), and either notifies the author the project has been accepted for peer review or that it needs additional work and begins a dialogue with the author.

It appears that in this instance the submitted work did not follow standard operating procedures and the author was not notified of the final outcome. The UNM Press does not have a log of all submitted works for publication consideration and therefore cannot be certain that this has not happened in other instances. However, should it occur, it is probable that the author would express concern as in this case. Absent a way to track submission from the time of receipt through correspondence of final decision, it is possible that similar situations may occur, leaving the UNM Press open to unfavorable reviews.

#### **Recommendation 4:**

The UNM Press should update their procedures to include a documented log for all works submitted to the Press for publication consideration. The log should be evaluated on a regular basis to ensure that all publications submitted for consideration are reviewed timely and that final outcome is communicated to the author.

#### **Response from the UNM Press Director**

<b>Action Items</b>
<b><i>Targeted Completion Date:</i></b> July 31, 2017
<b><i>Assigned to:</i></b> Manager, Administrative Operations
<b><i>Corrective Action Planned:</i></b> UNM Press management agrees with the recommendation to update procedures to include a documented log for all works submitted to the Press for publication consideration. The Press receives approximately 1,500 manuscript proposals annually of which fewer than 10% are considered for publication. Once a decision is made to consider a manuscript for publication, information regarding the manuscript, author, etc. will be logged into the Press's title management database and tracked through the publishing process. At the same time, in keeping with the practices at many other publishing houses, UNM Press will no longer respond to unsolicited manuscript submissions and this policy will be communicated through the UNM Press website and other appropriate venues. For example, the following statement will be added to the website: "While UNM Press is willing to consider unsolicited and un-agented submissions, we do not respond unless we are interested in pursuing publication of the work or would like to request more information about the project. We regret that, due to the high volume of queries, we cannot reply personally to every submission. UNM Press does not assume responsibility for any unsolicited materials that we may receive." The Editorial Handbook will also be updated to reflect this change.

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## APPROVALS



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Manu Patel, CPA  
Director, Internal Audit Department

Approved for Publication



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Chair, Audit and Compliance Committee

## **Recognizing the University Press as a Strategic Asset at University of New Mexico**

*Charles Watkinson, Associate University Librarian for Publishing and Director of University of Michigan Press, University of Michigan – November 11, 2015*

Originating from a consultancy visit to investigate options for greater integration of the University of New Mexico Press into the Library, this report identifies a broader need for institutional attention in three areas related to academic publishing in the humanities and qualitative social sciences at UNM. These are (1) shared engagement with a challenging financial environment, (2) better connection between publishing investments across campus, and (3) an extended commitment to helping faculty and students navigate the new world of digital scholarship. The report concludes with some practical recommendations, focused on positioning the University Press more appropriately in campus discourse as a strategic asset to be leveraged rather than a recurring financial problem to be solved.

### **Background**

On June 21, 2015 I received a request for assistance in evaluating the University of New Mexico Press from Provost Chaouki Abdallah. This was followed by a phone conversation on June 30 where a particular emphasis was placed on exploring whether greater integration between the Press and the Library would help UNM Press succeed in a difficult financial environment. Having lived the challenges and opportunities of press/library integration at two research universities (Purdue and Michigan) and written extensively about such alliances, the chance to understand the situation at UNM was attractive to me and I accepted the Provost's request.

On October 12 and 13 I spent two days at the University meeting a number of key stakeholders and having extended conversations with John W. Byram, Director of the Press, and Richard W. Clement, Dean of the College of University Libraries and Learning Sciences. In advance of my visit the Provost provided me with reports from two previous consultants (both distinguished publishers) who had conducted site visits in 2013, Lynne Withey and Gary VandenBos, as well as two March 2015 memos about the future of the Press from John Byram and Rick Clement. John Byram also provided me with a Press income statement and list of the University Press Committee. Both John and Rick were helpful in supplementing the suggestions for potential interviewees for my October visit that the Provost had provided, and Jessica Ramos in the Provost's Office was extremely efficient in setting up a full schedule.

During my two day visit I toured the Press, both administrative offices and warehouse, and met with John Byram, senior members of his staff, and members of the Press Board. I also toured the main Library, met with Rick Clement and senior members of his staff, and received a presentation from Kevin Comerford and colleagues about the work of the Digital Initiatives and Scholarly Communications center (DISC). In the company of John Byram I met with Andrew Cullen, Associate VP for Budget, and, alone, with Amy Wohlert, Chief of Staff, Office of the President. At the end of my visit I met with the Provost; Carol Parker, Senior Vice Provost for Academic Affairs; and Virginia Scharff, Associate Provost for Faculty Development.

At all times during the preparation for my visit and the visit itself, I was struck by the constructive frankness of the people that I met and the quality of discussion. UNM is lucky to have a professionally-run university press with a forward-thinking Director, a university library whose Dean is energetically looking for better ways to support the scholarly communication needs of faculty and students in the digital environment, and a Provostial team knowledgeable about issues in the digital scholarship space and eager to help the University Press succeed.

The remainder of my report explores three issues that demand institutional attention: (1) how to respond to a challenging financial environment in humanities publishing, (2) how to align and connect publishing initiatives within the institution, (3) how best to support the emerging digital scholarship needs of authors. While the University Press is at the epicenter, the issues themselves are larger ones with implications for faculty success, recruitment, and retention. They deserve cross-campus engagement. The report concludes with some recommendations for next steps, again focused on the University Press but set in broader context.

### **Navigating the Challenging Financial Environment**

On the one hand, the financial issues faced by the University of New Mexico Press are typical of mid-size, non-profit, academic book publishers. The declining sales of monographs to libraries, consolidation in trade retail outlets, and a reduction in student purchasing of new textbooks have severely impacted most university presses. Such trends are particularly challenging to those in Groups 2 and 3 of the Association of American University Presses' classification, most of which have publishing revenues around \$3 million annually. At University of Michigan Press, for example, revenues have declined more than 40% over the last ten years. These presses do not have the scale to effectively leverage supplier and retailer relationships or the opportunity to truly diversify into other product types that larger publishers do. At the same time they have more complex infrastructure to maintain, more commitments to authors, and more involved processes than smaller operations.

While all midsize university presses face challenges, there are some particular choices made over the last few decades at UNM that have made financial issues particularly pressing. By not providing the Press with recurring institutional support (on average equivalent to 17% of net sales across Group 2 and 3 presses in recent AAUP statistics), the University has let the deficit reported in financial documents sent to the Regents grow to almost \$6 million. While the Provost instituted recurring support of ca. \$250,000 a year in 2013 (this reduces slightly every year), that sum remains below the level needed to fill the net income gap of around \$500,000 - \$600,000 annually. At University of Michigan Press, only slightly bigger, the Provost provides annual support of \$600,000 a year. While it may not be financially manageable for the University in its current financial situation, \$500,000 in annual support for the press would be more typical, a point that the Director of the Press has rightly made for several years.

One argument for integrating university presses into libraries is that such a move provides some financial benefits, both in leveraging shared back office resources and in positioning the Press

more appropriately within the university accounts. On the shared resources side, so the theory goes, the library can provide space free of charge as well as IT and facilities support, plus HR and accounting help. In terms of positioning, the library can make a strong case for moving the press from being an auxiliary unit (compared to larger and generally financially successful entities such as housing, food services, etc.) to being a designated unit (more closely tied to the academic mission, with success measured only partially on financial performance).

It is not clear at UNM, however, whether meaningful financial synergies/savings could be achieved through integration with the library. The press already receives office space free of charge, even though it pays rent for its warehouse. Its business office is small and is focused on transactions involving managing revenue and paying royalties that the library's financial operations, which are already stretched, would be unlikely to be able to assume more efficiently. Any proposal that librarians could take on acquisitions, copyediting, design, or marketing (the major categories of publishing labor) in their spare time does not reflect the strategically important and distinctive nature of these activities and the professional skillsets necessary to accomplish them at a press of UNM's size and reputation. Merging IT support would be a relatively small win financially and assumes no chargeback from the Library for providing ongoing support. The Press's flexibility would also be reduced. There could be advantages in strengthening the Press's capacity to manage and preserve increasingly complicated and critical unique digital assets, but this opportunity for collaboration could be worked on without administrative change.

There is also an area of potential synergy in storage of books. The Press is relatively unusual among AAUP members in continuing to maintain its own warehouse which costs around \$140,000 a year in rent and employs 4 FTE in inventory management personnel. The Library meanwhile has an increasing need for offsite storage for low circulation printed materials. While the Press's current space does not have a lot of extra capacity and the needs of a commercial operation where units from a range of warehouse locations are leaving (and returning) daily are different from long term storage, investigating Press and Library print warehousing needs together could offer savings. Even if the Library could not pick up the entire cost, the cost per square foot of a new, larger facility would likely be lower.

In any case, continuing to regularly evaluate the need to maintain its own warehouse is something the Press is clearly doing and should continue to do. With around 35 partner publishers (most with shared disciplinary or regional focuses) paying for use of the facility and real advantages in responsiveness and flexibility the warehouse may well be financially sustainable and a competitive advantage. On the other hand, external distributors have become more competitive in recent years and may be able to respond more effectively to the consolidation of retailers (especially the increasing demands of Amazon). From having gone through a recent RFP for distribution, I am aware that vendors such as the Chicago Distribution Center and Ingram Publisher Services are charging around 10% of net sales revenue for comprehensive services to presses our size, lower than even a couple of years ago due to competition. As the Director of the Press notes, the one-time cost of relocating stock would be high but external vendors are currently offering incentives to subsidize these expenses.

In terms of positioning in the University accounts, the Press is already categorized as a Public Service rather than Auxiliary unit. Although it could probably be further insulated by being reported as part of the Library's finances, this would be a cosmetic change.

In sum, there does not seem to be any compelling financial advantage in integrating the Press and Library in the particular context of UNM, especially when the Library itself is facing a number of budgetary challenges. Some small wins in sharing support services, such as preservation of digital assets, are possible and a joint investigation into warehousing options seems desirable.

What else can be done to improve the Press's financial situation? This is a question that successive Directors have been struggling with for years and I can offer no great insights. The options are simply to find ways to increase revenue, on the one hand, and control costs, on the other. The two are clearly linked since the most substantial way to cut costs is to reduce staff which in an organization as tightly run as UNM Press may erode capacity to generate income.

In terms of increasing income, all publishers constantly seek revenue increases and the Press's sales and marketing operation seems to be efficient and effective. At University of Michigan Press our areas of revenue focus are on annual pricing reviews, renegotiated ebook contracts, backlist reprinting, more robust rights and permissions relationships (including direct contracts with various international Reproduction Rights Organizations), and more targeted fundraising activities. UNM Press seems to have similar strategies. None of them offer substantial or guaranteed wins. We also are generating more revenue from our publishing services operation and there are some options here which I will explore more below.

In terms of decreasing costs, staff and inventory expenses are the major categories for most presses and are the logical focus at UNM. In its business operations department the Press employs 7 FTE in distribution, 3 FTE in finance, and 1 FTE in IT. To run an independent warehouse as well as support core publishing operations this seems reasonable. It employs 2.5 FTE in editorial (including half of the Director's time) and an editorial assistant, which represents tight staffing for a Press with an annual output of 70 or more titles. It employs 4 FTE in sales and marketing, including a regional sales rep, which is also appropriate, and employs 8 FTE in editorial, design, and production (EDP).

The fact that the size of the EDP department seems slightly large is likely appropriate to the nature of the lists. EDP size varies across presses according to the character of the publishing program and the balance between in house and freelance work. For example, with disciplinary strengths in photography and art and a reputation for highly illustrated, full color trade books, UNM Press will have a different production department profile to the University of Michigan Press which is more focused on monographs. Highly illustrated books are expensive in terms of the design effort involved and in the printing. While the Press regularly and successfully applies for subvention funding for such projects (the Director estimates that this averages \$100,000 a year), this comes with its own overheads in time and effort. Because high quality color cannot

economically be printed digitally and requires large print runs to break even there is an increased danger of accreting unsold stock.

When looking for cost savings, the Press should continue to look carefully at its commitment to highly illustrated products (currently around 20% of its publishing program annually) and make sure that these really are generating enough revenue to sustain the high overheads and direct costs in staffing and manufacturing. At the same time, reevaluating which EDP processes it maintains in house and which it outsources would be sensible. While the Press outsources copyediting, it keeps design and typesetting in house. More templated approaches to book design can permit more automated approaches (e.g., Pressbooks.com) or use of offshore typesetters with low per-page rates for certain series.

### **Connecting Publishing Investments across Campus**

What surprised me most in my visit to University of New Mexico was the lack of contact and discussion of shared opportunities and challenges among the administrators concerned with the Press. Even though the Press's offices are now in close proximity to both the Library and the central administration building, there appear to be almost no in-person business meetings. None of the senior faculty and administrators I met (other than members of the University Press Committee) seemed to have visited the Press building under its current Director. When issues such as University branding or textbook affordability are under discussion in central administration, as they were during my visit, the Press director could be a helpful participant. When digital projects are being constructed at the Press (as new apps were during my visit), involving the head of digital projects in the Library would be desirable. In both these examples, the logic of working together more closely was recognized retrospectively by the people I spoke to, but it struck me that connections that would improve the success of University initiatives were not being made.

The one connecting point between the Press and the Library that I heard mentioned was the Innovative Scholarly Communications Committee (<http://scholarly.unm.edu/office.html>). The degree to which this group appears to be moribund is reflected in the fact that the past Dean of Libraries is still listed on the web page at time of writing. Participation is apparently very spotty and the main activity of the group appears to be to organize some Open Access Week events. Creating a new structure for discussion around scholarly publishing, fully supported by top administrators, would be very desirable. If the University desires to make a radical move in requiring collaboration, inspiration may be found in Indiana University's experience in creating an Office of Scholarly Publishing (<http://newsinfo.iu.edu/news/page/normal/22724.html>) reporting to the Provost and involving top administrators (necessarily including the Director of the Press) and faculty with shared oversight of Press, Library, and other campus publishing initiatives. While not uncontroversial, the IU Office of Scholarly Publishing under the chairmanship of Carolyn Walters successfully stabilized the Press, improved morale, and built new structures for digital scholarship support on campus between 2012 and 2015. Its first move was to organize a number of "salons," mainly involving faculty but also other stakeholders, to discuss the future of scholarly publishing, simultaneously building campus support for the Press.

Just creating new committees is clearly not enough. At the University of Michigan Press we have engaged in building personal connections and trust with some intentionality, recognizing that the integration with the Library in particular requires some cultural as well as structural adaptation. The concept of “diversity” has been useful, recognizing as it does that an understanding and appreciation of cultural difference is essential for building meaningful connections. When librarians and publishers collaborate to serve the needs of faculty, it is important that each partner truly respects the different but equally important skills, knowledge, and approaches that the other brings to the table. Since UNM as an institution justly prides itself as excelling in diversity and has expertise in promoting intercultural competence, this framing may be useful in promoting greater collaboration even if professional culture is somewhat tangential to the usual focuses on ethnicity, gender, etc.

A closely related issue to ones we continue to wrestle with at Michigan was in the way the people I spoke to talked about the Press, particularly in terms of its relationship with the rest of the University. While reference to history is necessary to place the Press’s situation in context, constantly perpetuating the past risks leaving participants in the conversation stuck in the swamp and not able to reach the dry ground where the current facts of the matter can be ascertained and opportunities to create a new future explored. Consultants who spent time with Library and Press staff members at Michigan in 2014 visualized this journey as being across a “landscape of conversation” from “what’s wrong” through “what’s so” to “what’s possible” and “what’s next.” This may seem like a digression, but self-consciously moving conversations about the Press from dwelling on the past to assessing the current situation with an eye to looking to the future would, I believe, be helpful in all follow-up discussions among key stakeholders.

An opportunity for the Press to connect more to the campus and potentially create a new source of revenue lies in providing publishing services to other university entities with publishing programs or ambitions to create them. This is an increasingly lucrative strategy at the University of Michigan and now accounts for around 10% of our income. I hear of an increasing number of university presses being more intentional in offering services beyond the *ad hoc* work on institutional histories, for example, that they have always done (good comparisons would be University of Hawai’i Press and University of North Carolina Press). UNM Press has already published some departmental histories using a service model (for example, a celebration of the 50th anniversary of the medical school, with substantial charge backs to the client) but has struggled to expand the service. It also distributes some publications for on-campus entities such as the Maxwell Museum of Anthropology.

Partnering with the Library to expand and formalize such services offers advantages in terms of connections, infrastructure, and branding. Through subject specialists the Library is connected to science, engineering, medicine and other academic divisions to whom the capacity of the Press would be less well-known. The digital infrastructure hosted by DISC provides opportunities to support journals and other non-book publications, with content development managed by the Press and charged back to sponsors. Finally, the ability to offer publishing services through the Library, with the Press a subsidiary partner, can help insulate the



“university press” quality brand from lighter publishing service solutions, assuaging potential faculty concerns. Building a robust publishing services operation together would be a good collaboration project through which the Press and the Library could build trust and mutually benefit from increased relevance to campus.

An interesting opportunity for publishing services lies in student scholarship. There is increasing energy on a number of campuses around the creation of affordable and open educational resources. With experience as a K-12 textbook publisher as well as in the creation of higher level texts the Press has the capacity to develop important new instructional resources. With a dedicated New Mexico sales rep, it even has the means of reaching instructors in other schools and institutions. In addition to providing the Press will an opportunity to engage more fully with the teaching and learning as well as research and engagement missions of the University, more participation in producing instructional materials could attract Foundation funding to offset some Press expenses (e.g., the Sloan, Knight, and Gates Foundations are all active in this space). At Purdue University, the Press was able to generate connections to STEM faculty through the creation of the *Journal of Purdue Undergraduate Research*, funded by a \$30,000 annual grant from the Provost’s Office to catalyze undergraduate involvement in research and showcase the best projects. While the Press is the project lead, JPUR remains conceptualized as a collaboration between the Provost’s Office, Press, Library, Marketing and Media unit, and Writing Lab and creates opportunities for further work between these entities.

### **Supporting Digital Scholarship**

Even humanities scholars who do not self-identify as “digital humanists” are applying digital technologies to their research and teaching, building corpora of rich media outputs that they increasingly wish to share alongside their more traditional, text-heavy, publications. By working together with the Library (which through DISC in particular has good capacity in this area), the Press could improve its capacity for digital innovation and its ability to partner with scholars who are increasingly interested in new modes of publication that reflect their engagement with digital tools during the research process. Such collaboration would benefit the Library by bringing expertise in selection and development, quality assurance and design, proactive marketing, distribution, and commercialization. Together the Press and Library could provide a hub for supporting digital scholarship on campus that neither can create as effectively independently.

There are some immediate needs in the Press where the Library could offer assistance. These offer an opportunity for some “quick wins” that could build understanding of complementary skills between the partners as well as potentially increasing revenue for the Press:

- The Director of the Press has almost completed a far-sighted negotiation with Google for the return of digitized versions of around 2,000 Press backlist titles. These will not consistently be usable for digital reprinting and the Library could provide assistance in formatting these so they can be made available for sale again. Older titles will often lack the metadata necessary for sale to institutions and individuals. The Library has catalogued all Press titles over the years and would be able to provide clean records in

standard formats, especially through its collaboration with OCLC. It is possible that the Library would be able to also help with the permissions analysis and clearance to make backlist titles available as ebooks.

- The Library has access to a rich and distributed preservation infrastructure, reassuring users that the Press is committed to long-term preservation of digital materials. This infrastructure ranges from HathiTrust, which is a light preservation archive that can preserve page images, to DPN, which offers a dark archive solution to ensure the long-term integrity of the scholarly record. There may also be [expertise in best practices related to accessibility](#) in the Library that can place the Press as a leader in this area.

In the longer term, the following opportunities would be worth joint exploration by the Library and Press:

- Together build the systems and workflows to do Open Access book publishing and take advantage of the emerging financial opportunities in this space. Should new funding models materialize, most notably the realization of the AAU/ARL first book subvention scheme with seed funding from the Mellon Foundation, the Press would be at the forefront of publishers able to benefit from new funding models. The Director of the Press has already taken leadership in exploring opportunities to revise and simplify the Press's author agreements, and has shown interest in working with the Library on Open Access books.
- Work with Press authors to encourage use of emerging data management services in the Library and help scholars stay compliant with federal and State mandates. This is very relevant in areas like archaeology where the Press is distinguished.
- Explore opportunities to add even more value to unique special collections under the stewardship of the Library. DISC is already doing significant work in this space, especially [through its digital initiatives](#) related to the history and culture of New Mexico and connected to the Center for Southwest Research. The Press is a center of editorial content and expertise in Southwestern history and culture. Connecting around this disciplinary focus would create exciting opportunity.

## Recommendations

Based on the discussion above, I offer the following three recommendations which could be pursued in order or in parallel.

### ***Join together to create a plan to reduce the deficit:***

In a financial environment where departments across the University are being asked to make cuts, it is important that senior University administrators join hands with the Press to find ways to reduce its annual deficit. Since the current Director has been fiscally responsible, savings will not be easy to find. When efficiency reviews have been conducted in the past, the Director of the Press has effectively been tasked to find them on his own. Since the Press is so integrated

financially into the University, however, more sustained help in analysis from Andrew Cullen and his team would be desirable, realizing they have many other commitments.

The largest expenses for the Press (as for most publishers) lie in salaries, inventory, and space, and these are the areas with the most potential for real cost savings. The Provost has pledged to find ways to remove the \$5 million deficit currently appearing in the University accounts and to continue to provide \$250,000 in annual support, with the understanding that the Press must henceforward “live within its means.” Given the multi-year nature of publishing commitments, it may take several years to reduce the deficit to the target number, but a plan needs to be put in place and must represent the combined efforts of several university administrators, not just the Director.

While my consultancy did not focus in depth on financial issues and I am reticent to offer advice based on such a brief visit, several opportunities mentioned above did strike me as worth exploring:

- Investigate shared storage solutions for the Library and Press, both entities with needs for warehousing of books. At the same time, keep benchmarking opportunities to outsource Press distribution.
- Reexamine the Press’s commitment to highly illustrated color books, checking on a title-by-title basis whether the costs of manufacturing and staff time are being recouped by revenue. Consider reducing this type of book as a percentage of the annual product mix. Investigate outsourcing some typesetting and design work.
- Relieve some staff costs in the Press through charging back portions of their positions to departments and centers looking for publishing services. Internal and external grant opportunities may also be available. Expansion of publishing services, perhaps in collaboration with the Library, will also increase relevance of Press to faculty in non-humanities disciplines.

### **Create a structure to initiate and sustain a campus-wide conversation about digital scholarship and scholarly publishing**

The Provost’s Office should work together with the Director of the Press and the Dean of Libraries to initiate a campus-wide conversation about publishing needs of faculty and students in an era of digital disruption, especially in the humanities and qualitative social sciences. Not only will this be helpful in framing a positive conversation about the Press, but it also has the potential to offer UNM a competitive advantage in attracting faculty and grant support from funders such as the Andrew W. Mellon Foundation. The Foundation through its Scholarly Communications program officers Don Waters and Helen Cullyer has recently supported both planning and implementation grants ranging from \$50,000 to \$1,500,000 to help institutions develop their capacity to support digital scholarship with a strong focus on press / library collaboration. [University of Illinois](#) and [Brown University](#) have been two recent recipients.

The Press is currently seen by senior administration as a primarily regional publisher valuable for engaging with the State but less relevance to the University's research or teaching missions. Finding ways to connect more integrally with the University's ambitions as an internationally competitive research university as well as a regional hub is essential for the Press's future, and a public conversation about digital scholarship and scholarly publishing, valuable in itself, would be a mechanism to identify how this may be accomplished. A key aspect of this conversation must be that it is focused on a future landscape of opportunity rather than being stuck in a backward-looking swamp, aspirational rather than just an assessment of accomplishments.

As described above, at Indiana University the Provost established an Office of Scholarly Publishing composed of senior administrators (including the Director of the Press) and key faculty to connect stakeholders and lead such a conversation with positive results. It would be worth consulting Carolyn Walters, now Dean of Libraries at Indiana University who previously led this initiative, to see what she felt worked and what she would have done differently. At Indiana the relationship of the Press to the Scholarly Publishing Office has, after three years, been transitioned to a simpler reporting structure to the Dean of Libraries. This might be a logical long-term plan at UNM but, as described above, has relatively few short-term advantages. As one interviewee said, "the worst case scenario is for the Library to inherit the Press's debt with a promise of further investment that never materializes." The creation of an Office of Scholarly Publishing to which the Press would report, with senior faculty and administrators including the Director of the Press appointed by the Provost as members, seems like a good way forward.

### **Join together to make an application to the State Legislature for recurring support**

The Press is notable in its connection to the State and there is clearly a great deal of political support that has been energized in recent months. Knowing that such initiatives are challenging and uncertain and must be complementary to the institution's financial commitments described above, the Director of the Press should work with the Provost to develop a request for continuing support to the Legislature (with precedent in recurring grants to entities such as the [New Mexico Historical Review](#) or [Center for Regional Studies](#)) which would provide funding for a return to growth for the Press. The Press can justly claim to be the State's publisher and much of its output is aimed at reinforcing Southwestern cultural and historical identity and promoting New Mexico. The Press is also a central publisher in Latin American studies and extremely important in Native American studies, both important areas for the State. Since the State is the primary beneficiary of the Press's work, there appears to be a compelling case that it should also support it more directly. This case needs to be positively-framed, again aspirational rather than focused on unmet needs, emphasizing opportunities for innovation in a changing publishing environment.