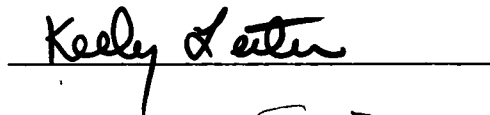


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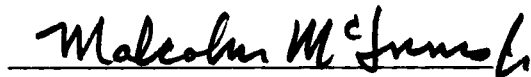
I am submitting herewith a dissertation written by Paul F. Parsons entitled "Getting Published: The Acquisitions Process at University Presses." I have examined the final copy of this dissertation for form and content and recommend that it be accepted in partial fulfillment of the requirements for the degree of Doctor of Philosophy, with a major in Communications.


Paul G. Ashdown, Major Professor

We have read this dissertation
and recommend its acceptance:







Accepted for the Council:


Vice Provost
and Dean of The Graduate School

GETTING PUBLISHED: THE ACQUISITIONS PROCESS
AT UNIVERSITY PRESSES

A Dissertation
Presented for the
Doctor of Philosophy
Degree
The University of Tennessee, Knoxville

Paul F. Parsons

June 1987

For my wife, Mary Helen

You have not only my love but my appreciation as well.

Thanks for being so supportive throughout this laborious undertaking.

ACKNOWLEDGMENTS

Traditionally, doctoral students express appreciation in writing to their dissertation committee members for their guidance, criticism and support. The words of praise in print often are far different words than the students may have muttered to themselves during the process of gaining dissertation approval. But praising one's committee is expected at this point.

So, I want to take this opportunity to thank my dissertation committee -- Paul Ashdown as chairman and George Everett, Kelly Leiter and Malcolm McInnis as committee members. But I really do mean it. Although the words may be expected, the sincerity behind the words is real. I was blessed with a committee that provided me genuine guidance, criticism and support throughout the two years spent on this dissertation. Paul Ashdown's enthusiasm for this topic kept me enthusiastic even in those moments when completion seemed so far away. His devotion to making this dissertation the best it could be -- both in content and writing style -- have made it far better than otherwise possible.

I also want to express appreciation to those university press personnel who assisted me in my quest to understand the acquisitions process. They did so with the expectation that I would be accurate and fair. I have sought to keep their trust.

ABSTRACT

Publishers stand at the crossroads of intellectual discovery and the public consumption of that discovery. Rather than being neutral intermediaries in the process, publishers help determine what is 'in' and what is 'out' in the marketplace of ideas. By choosing to publish some works and by choosing not to publish others, they play a vital gatekeeping role in the transmission of knowledge within a culture. University presses serve a prominent gatekeeping role in scholarly publishing because they, unlike commercial presses, can select knowledge for distribution without being captive to financial success. Because a press is one flesh with the parent university, its purpose is to advance knowledge rather than to make a profit.

This study investigated how university presses select the manuscripts they publish. The study relied on several methodological tools: an extended on-site study of a single university press, in-person interviews with personnel representing more than 30 other university presses, and a mail survey of leading university presses.

The study found that university presses publish primarily in the humanities and social sciences, with history and literary studies the leading list-building areas. Fewer than a third of the presses publish in the natural sciences. The acquisitions process itself is evolving. Editors no longer sit in their offices and wait each day for the mail to bring them manuscripts worth publishing. Some published manuscripts still come over the transom and others are initiated by author query.

But the largest percentage of books are actively acquired by editors who go to scholarly conventions, browse through academic journals, visit campuses, and write letters of solicitation to prospective authors. The study found that roughly one of every 50 over-the-transom submissions and author queries resulted in a published book, while better than one in five manuscripts acquired by the editors proceeded successfully through the three-stage process of editor review, scholarly peer review and editorial board approval. How a manuscript comes to the attention of an editor, then, plays a significant role in decision-making. The acquisitions process is not egalitarian. Yet university presses do exhibit a commitment to intellectual discovery, and this commitment pervades the acquisitions process.

TABLE OF CONTENTS

CHAPTER	PAGE
1 / GATEKEEPERS OF INTELLECTUAL DISCOVERY	1
Purpose of the Study	3
Statement of the Problem	4
Review of the Literature	5
Procedures of the Study	15
 2 / SCHOLARLY SPECIALIZATION AND LIST-BUILDING	 20
The Advantages of List-Building	24
The Humanities and Social Sciences	29
How Presses Choose Their Lists	38
Publishing the Natural Sciences	45
Symbiosis Between Editors and Authors	50
Reputations, Affiliations and Tenure	58
 3 / ACTIVE AND PASSIVE ASPECTS OF ACQUISITIONS	 64
Unsolicited Manuscripts Not Wanted	71
Queries: The Writer's Overture	75
The Editor as the Initiator	83
Publishing the Home Faculty	87
Personal Contact at Conventions	93
Competition in Scholarly Publishing	102
The Editor's Decision Time	112
 4 / VALIDATION THROUGH ACADEMIC PEER REVIEW	 116
The Selection of Outside Readers	119
Why Scholars Agree to be Readers	124
What Readers Say about Manuscripts	128
Editorial Committee as Decision-Maker	136
Independent and Dependent Committees	140
Presenting Manuscripts for a Vote	146
Inside an Editorial Committee Meeting	149

CHAPTER	PAGE
5 / FINDING AND FINANCING SCHOLARLY MONOGRAPHS	165
The Publishing of Dissertations	171
Revising a Dissertation into a Book	180
Titles and Other First Impressions	186
Financing Scholarly Monographs	190
The Search for Subsidies	194
Marketing the Scholarly Monograph	202
6 / TRADE BOOKS AND THE EXPANDING TITLE MIX	212
Trade Books for the Non-Specialist	215
General, Topical and Regional Books	220
Publishing Fiction and Poetry	229
Textbooks, References and Series	243
Publishing the Grand Projects	251
Best-Sellers and Reprints	260
7 / FRONTIERS OF KNOWLEDGE AND TECHNOLOGY	264
Emerging and Declining Agendas	269
Evolution in List-Building	274
A Penchant for Controversy	280
The Impact of New Technology	286
The Future of Acquisitions	293
BIBLIOGRAPHY	303
APPENDICES	316
Appendix A: List-Building Areas of University Presses	317
Appendix B: Questionnaire Sent to University Presses	328
VITA	333

LIST OF TABLES

TABLE	PAGE
2.1- Leading List-Building Areas of University Presses	31
2.2 Other List-Building Areas of University Presses	33
✓ 2.3 Fields of Study of Press Director and Senior Acquisitions Editor	44
✓ 2.4 Highest Educational Attainment of Press Director and Senior Editor	51
2.5 Estimate of Percentage of Books Written by First-Time Authors	56
✓ 3.1 Estimate of How Manuscripts Published in 1985 Were Acquired	70
3.2 Estimate of Success Rate for Unsolicited Manuscripts in 1985	71
3.3 Estimate of Success Rate for Author Queries Received in 1985	76
3.4 Number of Editors Involved in Decision-Making on a Query	81
3.5 Length of Time It Takes to Respond to a Query	82
3.6 Estimate of Success Rate for Active Acquisitions in 1985	84
✓ 3.7 Estimate of Percentage of Books Written by Home Faculty in 1985	88
3.8 Assessing Competition for Manuscripts Among University Presses	103
3.9 Willingness to Consider Multiple-Submission Manuscripts	107
4.1 Number of Outside Readers Who Evaluate a Typical Manuscript	117

TABLE	PAGE
X 4.2 Average Length of Time a Reader Takes to Evaluate a Manuscript	127
4.3 Estimate of Responses by Outside Readers in 1985	130
4.4 Estimate of Editorial Committee Rejections in 1985	139
X 5.1 Estimate of 1985 New Titles That Were Revised Dissertations	175
X 5.2 Importance of Selected Factors in the Decision to Publish	193
6.1 Estimate of Percentage of Trade Books in the Front List	216
6.2 Presses that Invite Fiction Submissions	234
6.3 Presses that Invite Poetry Submissions	239

CHAPTER 1

GATEKEEPERS OF INTELLECTUAL DISCOVERY

Publishers stand at the crossroads of intellectual discovery and the public consumption of that discovery. Rather than being neutral intermediaries in the process, publishers help determine what is 'in' and what is 'out' in the marketplace of ideas. By choosing to publish some works and by choosing not to publish others, they play a vital role in the transmission of knowledge within a culture. In sociologist Lewis Coser's phrase (1976, p. 17), publishers serve as "gatekeepers of ideas."

In this age of decentralized media, publishing no longer occupies the near-monopolistic gatekeeping position it once enjoyed. Yet in the realm of scholarly knowledge, publication remains the primary vehicle for intellectual discourse in literate societies. Publishers bring together the producers of ideas with their consuming publics. Fortunately for producers and consumers alike, scholarly publishing has no single gatekeeper. Scholarly decision-making resides in a great number of autonomous firms, all with their own interests and their own perceptions of what is worthy of publication.

University presses serve a prominent gatekeeping role in scholarly publishing because they, unlike commercial presses, can select knowledge for distribution without being wholly captive to the marketplace. The university press, after all, resides in two worlds --

that of the scholarly community and that of the publishing industry. The typical university press stands outside the regular university machinery. It is a non-profit enterprise organizationally attached to the administration rather than to a particular school or faculty. Most presses are subsidized through use of university buildings and services. Because a press is one flesh with the parent university, its expressed purpose is to advance knowledge rather than to make a profit (Meyer and Phillabaum, April 1980, p. 215).

Yet a book is both an idea and a commodity. Its intent is to be intellectually stimulating, but first it must be bought. Within any publishing house, some employees will be more concerned with books as ideas while others will be more concerned with books as commodities. The balance of power between the two is what makes university presses distinctive (Miles, July 1984, pp. 291-292). In commercial publishing, those who are more concerned with books as ideas report to those who are more concerned with books as commodities. In university presses, ostensibly, the balance of power is reversed.

With this distinctive thrust, university presses exert an influence on American publishing significantly out of proportion to their size. University press income accounts for slightly more than one percent of publishing's annual sales, yet university presses publish about 10 percent of the 40,000 new titles in the United States each year (Grannis, 1984, p. 5). Moreover, if National Book Awards are taken as a measure of cultural impact, it is noteworthy that more than 20 percent of the awards and prizes made since 1950 have gone to books

published by university presses (Meyer and Phillabaum, April 1980, pp. 217-218).

University presses serve as important catalysts for scholarly inquiry. Their role in the enrichment of intellectual life occurs, in theory, through this process: Scholars do research. Their work is evaluated by the press' editors. Many manuscripts fall by the wayside, while those considered most promising are sent to the authors' peers for anonymous review. Still more manuscripts fall by the wayside, while others are returned to the authors for revision. In the end, an editorial committee of scholars selected from the parent institution's faculty and administration decide whether to publish the work. Ideally, only the best works are published. These are collected and sorted in libraries, where other scholars can use them for their own research. If only the best works indeed are published, then this process becomes a cyclical flow that continually advances intellectual life.

Purpose of the Study

The purpose of this study is to determine the acquisitions processes used in the selection of manuscripts published by university presses. Specifically, the study seeks to investigate how editors go about the task of choosing what to consider for publication and what to discard, and how the peer review and editorial committee mechanisms choose the works to be published.

Statement of the Problem

Understanding the factors that help determine gatekeeping decisions in scholarly publishing can reveal clues about the ways in which knowledge is distributed within a society.

This study seeks to answer the following questions: How do university presses acquire the manuscripts that eventually are published? Are editors passive gatekeepers or active shapers of the intellectual agenda? How do the educational backgrounds of university press directors and acquisitions editors influence their publishing interests? To what extent has scholarly specialization influenced the acquisitions process? How are peer reviewers selected? What responses do they give manuscripts sent to them for appraisal? How are editorial committee members selected? Do editorial committees tend to follow the advice of editors and peer reviewers? Do these presses publish books by authors without academic ties or credentials? To what extent do financial considerations play a role in the decision-making process? What policies do university presses have for the publishing of fiction, poetry, trade books and dissertations? What new areas of inquiry are of interest to university presses? What impact will new technology have on scholarly publishing? What do those within the university press enterprise perceive to be future trends in scholarly publishing?

Little is known about the collective answers to these questions, and there may be specific consequences to that lack of knowledge.

Review of the Literature

A strong association has existed through the years between universities and publishing. Scholars debate whether the first university press was established at Oxford in 1478 -- one year after William Caxton printed the first book in the English language -- or at Cambridge in 1521. Whenever the start, these early presses basically were printing houses attached to the parent universities, with London booksellers serving as the publishing agents (Tebbel, 1975, p. 535).

Printing in Europe became inseparable with the Renaissance and the Enlightenment and led to vigorous artistic, philosophical and intellectual activity. By giving permanence to ideas and by recording achievements, books answered a deep human need. So the invention of movable type by Johannes Gutenberg in Germany, circa 1450, started a literary revolution that now has spanned more than half a millennium.

The first university press in the United States appeared at Cornell University in 1869. But the school's trustees were not convinced the university needed a press, and only two pamphlets were issued before the press was declared defunct in 1883 (Tebbel, 1975, p. 536). Cornell did not reestablish its press until 1930.

In 1878, the Johns Hopkins University started what has become the oldest continuously operating university press in the United States. Daniel Coit Gilman, the first president of the Johns Hopkins University, is considered the father of American university publishing. He maintained that universities not only have an

obligation to teach and to research, but also to publish. Gilman's oft-cited aphorism of 1878 has become a motto for university presses (Hawes, 1967, p. 1):

- It is one of the noblest duties of a university to advance knowledge, and to diffuse it not merely among those who can attend the daily lectures -- but far and wide.

In the United States, as in Europe, the publication of graduate school theses was compulsory in the 19th century. Graduate students paid for the printing of their doctoral theses, and the universities assumed responsibility for distributing the scholarly work. But when the output of increasing numbers of graduate students was combined with that of faculties, it became clear that regular publishing channels would be inadequate. Thus arose the need for the university press. Robert Frederick Lane, in a Ph.D. dissertation at the University of Chicago (1939), wrote:

There can be little doubt that many university presses, especially those with manufacturing plants, were often established in order to do the institutional printing. Allied with this was the argument that students in Journalism required a printing laboratory. The theory that a university press was a means for publishing the product of research, that it would enhance the reputations of scholars and institutions, developed relatively late in American university press history.

The university press movement grew slowly and erratically in the late 1800s and early 1900s, then began to expand in the 1920s and 1930s. Early in the 20th century, university presses in the United States primarily were confined to privately endowed universities. Even some of these came to question the presence of a press. In 1943,

President James B. Conant of Harvard University wanted to dispose of the Harvard Press, viewing it as a business enterprise with no academic virtue. In a spirited defense of the press, Harvard professor Ralph Barton Perry outlined its merits (reprinted Jan. 1986, p. 111):

The university ... holds in its hands and can apply a seal of scholarly honesty and accuracy. Its name is a certificate of quality. In their capacity as scholars, its members write not what they think they can sell, but the conclusions they have reached as a result of thorough and expert inquiry. They are not obliged to cater to appetites and purchasing power. The public, therefore, has confidence in the university's disinterestedness and good faith.

The continued existence of the Harvard Press was made secure the following year.

University presses, however, remained an insignificant part of American publishing until after World War II. Chester Kerr, former director of the Yale University Press, said (Oct. 1969, p. 15) university presses until this time were run by amateurs such as printers, or scholars near retirement, or professors with no future in their chosen fields of scholarship. With few exceptions, the publishing lists consisted primarily of doctoral dissertations, some regional titles and other publications that likely would have been called "vanity books" had their authors not been connected with respectable institutions.

Many university presses served more as printers than as publishers, often wielding little editorial authority. In 1948 in his first year as director of the Johns Hopkins University Press, Harold Ingle was surprised upon being presented a book bearing the press'

imprint by a professor who had taken his manuscript directly to the printer (Shugg, Oct. 1978, p. 7). That doesn't happen anymore. One measure of the strength of university presses today -- be they large or small, public or private -- is their undisputed ability to exercise editorial control.

In the decades following World War II, university presses experienced unprecedented growth. In the 1950s and 1960s, they expanded with the help of foundation funding and in conjunction with the government-supported library prosperity of those years. Then came the inflation years of the 1970s. Book sales declined. Book prices went up. Library budgets were cut. Universities experiencing budgetary problems began expecting their presses to break even financially. A few university presses even went out of business. Publication was seen as increasingly difficult for young scholars. This led to a widespread belief that something was seriously wrong with the system of scholarly communication in the United States. The phrase "crisis in scholarly publishing" was used often during the decade, leading to the creation of a National Enquiry into Scholarly Communication. A panel of publishers, librarians and scholars issued its report in book form in 1979 on complex topics ranging from government policies to the needs of research libraries.

But scholarly publishing proved resilient. The word "crisis" no longer is applied to scholarly publishing. University presses are expanding in the 1980s, with a renewed sense of their gatekeeping function in society.

The term "gatekeeper" was brought into the language in 1947 by sociologist Kurt Lewin. The term was broadened to the communications field in 1950 by David M. White. Since that time, the concept has been elevated to communications theory, relegated to a subservient role of news-gathering, and brought back again to the concepts of Lewin.

Lewin contended that social forces flow along channels and pass through gates that are governed by impartial rules or by gatekeepers who make the necessary decisions on what passes through. The power group or individual makes the decision for 'in' or 'out.' Noting that food comes to the family table through certain channels with 'gates' that allow the progress of some yet stop the progress of others, Lewin theorized (1947, p. 145):

The passing or not passing of the unit through the whole channel depends to a high degree upon what happens in the gate region. This holds not only for food channels but also for the traveling of a news item through certain communications channels in a group.

White (1950) applied Lewin's thesis to the daily newspaper. White studied in detail a single telegraph editor, whom he dubbed "Mr. Gates," in an effort to discover the factors that influenced his selection of stories. White wanted to know the factors that led the editor to reject nine-tenths of the copy he sees each day and to print the one-tenth. The study revealed a number of reasons -- the most obvious being space, although no paper regardless of size would desire to print everything available. White's study revealed the subjectivity with which the editor handled his job.

Bruce Westley and Malcolm MacLean (1957) brought the gatekeeper into their conceptual model for communications research. Placing the gatekeeper in the key position in their A-B-C model, the theorists called the gatekeeper the agent for the audience rather than the originator of information or the communicator for the sender.

Terming gatekeeping as "uncertainty theory," John Dimmick (1974) detailed the process as it relates to decisions required of gatekeepers. He contended that gatekeepers are uncertain what to select and thus depend on opinion leaders, reference groups, consensus of editorial staffs, and timeliness to make selection decisions. Dimmick concluded that a combination of these factors, in the end, may be responsible for the decision to accept or reject.

All social organizations depend to some extent on the use and control of information. Gatekeeping is a form of information, or knowledge, control. In selecting which books to publish and which to reject, book publishers engage in a form of knowledge control. Gordon Neavill considered this to be an essential function of scholarly publishing. Neavill wrote (1975, p. 27):

It is crucial to the dissemination of knowledge that all manuscripts submitted to publishers 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 the weight....

Of course, it is also crucial to the dissemination of knowledge that works which merit publication on the basis of their content not be rejected.

One view is that publishers serve as censors -- exercising censorship each time they decline to publish a manuscript submitted to them. But that is a specious argument. Censorship is the deletion of objectionable material. That is different from the process of selection. If publishers did not have the right of selection, they would be reduced to clerks, publishing all that entered the gates. Still, the term "censorship" has been applied through the years to the decision-making process in publishing. In 1929, Donald P. Bean, then manager of the University of Chicago Press, completed the first major study of American scholarly publishing. In writing about the importance of having a variety of gatekeepers in scholarly publishing, Bean loosely used the censorship term in offering a description of the decision-making process (reprinted April 1981, p. 263):

I know that I am not infallible; and I know equally well that other editors are not. It would seem to me to threaten a great evil if there were not a variety of censors, so that the judgment of one shall not be final.

If it were somehow possible to evaluate, according to some type of objective scale, the scholarly contribution of each manuscript, then the decision to publish would be an automatic process. But such objective measures do not exist. As a result, decision-making processes often appear arbitrary.

Sociologist Walter Powell (1985) conducted field observations during a 19-month period at two commercial publishing houses, observing the scholarly selection process. He concluded that the fate of a manuscript depended on the interest it created within the

publishing house. Powell said he was not arguing that what went on in publishing houses was irrational or dictated by random choice. His point was not that things occur by accident, but that precisely how a manuscript will be obtained cannot be planned or calculated.

Understanding how editors distributed their time was a key to learning why a particular book was published as opposed to others. Not surprisingly, Powell found that the more time that went into evaluating a project, the more likely the project was published.

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. Barry Schwartz wrote (1975, p. 78):

Every organization which processes people or the 'things' created by people must in some way make use of a queue discipline, a set of rules which govern the order in which service is rendered.

In many organizations, the standard policy is one of first-come, first-served. However, in other organizations, there is a recognition of contingencies which entitle a person to faster service. These are pre-emptive priorities. The result of such a queuing system is that efficiency and short waiting times for one set of authors results in inefficiency and long waiting times for others.

Publishers, it should be remembered, are by no means passive gatekeepers, content merely to pass judgment on manuscripts as they are submitted. When dissatisfied with the traffic arriving at their

portals, they can actively solicit works more to their liking. Powell said editors are virtually unanimous in stating that sitting back in an office chair waiting for manuscripts to arrive through the mail is a poor way to do their jobs. What is important, they said, is to get out and meet people, attend conferences, knock on doors, and talk with prospective writers. Powell argued that the time an editor spends on a project, and hence its chances of being published, is largely determined by the manner in which the project came to the editor's attention. He listed three methods of acquisition: 1. the author initiates contact with the publishing house; 2. the author has some previous association with the house or with a referral person or institution; and 3. the press initiates contact with the author. Powell found that the act of acquiring a manuscript many times overrode any decision-making process. At one house he studied, materials submitted by an author who had no prior contact with the house -- and there were more than 1,800 of these a year -- had less than a one percent chance of getting published. In contrast, projects that came in as a result of an editor's efforts or connections -- about 50 a year -- had a 35 percent chance of being published. As imperfect as it may be, the queue operated as a filtering process in the choosing of knowledge to make public.

The manuscript selection process, ideally based on quality of intellect and importance of topic, has been a key to making the university press system workable. The director emeritus of the University of California Press, August Fruge, praised the standards

existing in university publishing, writing (July 1978, p. 297):

The bars are reasonably high, the channels clear; the mediocre do not swamp the excellent. If this be elitism, that mortal sin of an egalitarian world, it is the elitism of excellence. Without it we might as well count pages.

Thus, all scholarly publishers together have performed a social and cultural role that is not always apprehended or appreciated.... From the great mass of written manuscripts, and those proposed to be written, they have chosen a fraction -- the best, the most useful -- for making public.

In book publishing, as in other forms of mass media, the gatekeepers who decide what to let in and what to keep out do not operate in a vacuum. Theirs is but a choice among available options. Authors determine the subjects they write about, and the available sources frequently determine the extent of the study. Each step in the chain from source to reader offers its own interests, preferences and prejudices. Persons along the way have their own concepts of the extent of knowledge offered, what its importance is, and to whom it is important.

Of course, all that a publisher can do is make the knowledge available. The final decision-maker is the consuming public. The public may choose not to be informed on a specific topic, regardless of the previous gatekeeping decisions on its behalf. A publisher influences the dissemination of knowledge, but cannot direct its consumption. The scholarly publisher can make certain kinds of books available, but cannot make consumers buy books they do not want or make them read books that do not interest them.

Procedures of the Study

This study of the acquisitions process at university presses relies on several methodological tools: an extended on-site study of a single university press, in-person interviews with the directors and acquisitions editors representing more than 30 other university presses, and a survey of the leading university presses.

In this study, a university press is defined as the scholarly publishing arm of a university or college, or of a group of such institutions within a state or geographic region. A university press, by its very nature, must be devoted to scholarly and educational ends. The word "scholarly" is used in the sense of original research.

This study is limited to the book-publishing aspect of university presses. It does not seek to study the selection and distribution of knowledge through the multitude of journals published by university presses. Neither does it attempt to study commercial scholarly presses or specialized monograph houses. University presses operate under different economic circumstances from these, since university presses have a measure of freedom from the more acute profit-making pressures present in commercial publishing. Furthermore, this study concentrates on the editorial function of determining which manuscripts to publish. Two activities separate a publisher from a printer -- selection and distribution. This study concentrates on selection and, except when directly related, does not seek to study the distribution aspect of university publishing.

The study began in 1984 with an extended on-site observation of a single university press. The director of the press permitted access on a confidential basis to peer reviewers' reports, editor responses and marketing information. The editorial committee of the press permitted attendance at its meetings on condition the university press not be identified.

The study next included in-person interviews with dozens of directors and editors representing more than 30 university presses. Interviews were conducted with representatives of Southern presses at the Southern meeting of the Association of American University Presses in the fall of 1985 at Knoxville, Tennessee. Interviews were conducted with representatives of Western presses at the Western meeting of the AAUP several weeks later in Reno, Nevada. Interviews were conducted with representatives of Northern and Eastern presses, along with directors and editors of other presses diffused geographically, at the Organization of American Historians national convention in the spring of 1986 in New York City. All interviews were on-the-record with the stipulation that an interviewee could request anonymity before sharing sensitive information.

Finally, the study included a survey of university presses. The survey was a census of U.S.-based university members and affiliates of the Association of American University Presses, based in New York City. For membership in the association, a press must publish five or more scholarly books a year for at least two preceding years and must

have at least three full-time employees. A four-page questionnaire was mailed to the 74 U.S.-based university members and affiliates of the association as of January 1986. The first mailing occurred in January 1986, with a second mailing in April 1986. Professor Earl Babbie, in Survey Research Methods (1973, p. 165), said a response rate of 50 percent is adequate for a survey, 60 percent is good and 70 percent very good. In this survey, 52 of the 74 eligible university presses responded for a return rate of 70.2 percent. ✓

~ The survey instrument relied in part on quantitatively provable figures, such as the number of new titles published, and in part on quantitatively unprovable estimates, such as the number of manuscripts acquired and received in a given year.

The efforts of other researchers to develop quantifiably provable statistics concerning aspects of the publishing process have had limited success. Fritz Machlup's four-volume study, Information through the Printed Word (1978-1980), financed in part by the National Science Foundation and the National Endowment for the Humanities, took more than three years and at one time employed a staff of 16. But the author concluded that the study remained inconclusive due to "the intractability of the problem." Gathering data and making sense of it proved difficult. For instance, Machlup found that some publishers kept sales records by units while other publishers recorded sales by dollar volume alone. Similarly, few publishers kept records of sales by discipline, and those who did defined fields of interest

differently. Another disappointment to the researchers was the discovery of the amount of work required to obtain primary data. When the research team tested a questionnaire designed to yield publishing lists by discipline, it took four people several days to fill out a questionnaire for only one year. Herbert C. Morton, director of the Office of Scholarly Communication and Technology, concluded in a review of the volumes (July 1980, p. 368): "One's insights are similar in reliability to those that develop through the ordinary accumulation of experience. They are tentative, and not quantitatively provable."

Just as it proved impractical to seek quantitatively provable data in the financial arena of publishing, it was impractical to obtain quantitatively provable data regarding the acquisitions practices at university presses. Few presses keep a record of every query letter they receive or a tally of manuscripts that come over the transom. Few presses maintain such records because those figures are not of operational significance to them. Yet rather than dismiss such items as unobtainable, the survey asked for estimates that, collectively, can help paint a portrait of the acquisitions process. But the figures are, in the words of a responding university press director, "impressionistic estimates rather than actual counts." As a result, survey data are reported through the use of descriptive, not analytical, statistics. Data are used to supplement the insights of accumulated experience by those in scholarly publishing.

Decision-making at university presses may follow certain norms,

but any study must be prepared to account for decisions to be made in individualistic terms rather than in highly structured terms. No two university presses have identical sets of criteria for assessing manuscripts. Yet enough similarities exist to provide some standardization in the acquisitions process.

CHAPTER 2

SCHOLARLY SPECIALIZATION AND LIST-BUILDING

An educational renaissance has occurred in the 20th century. Higher education, once confined to an elite minority, has become an egalitarian ideal. In 1900, American colleges and universities granted fewer than 30,000 degrees, of which 382 were doctorates. In 1980, more than 30,000 doctorate degrees alone were awarded in the United States (U.S. Bureau of the Census, 1986, pp. 158-159).

In the process of meeting societal needs, higher education has grown more professionally oriented and more specialized. The standardized core curriculum of the 1800s gave way to a greatly expanded academic curriculum that included new subjects of study. A rigid curriculum was no longer considered acceptable in an age that seriously questioned what an educated person should know, and it became apparent that no student could master more than a small fraction of human knowledge. As a consequence, academic departments were created, and the practice of majoring in a specific subject became common. The transformation of colleges into universities also created an orientation on the graduate level toward research as well as teaching. Graduate education became devoted primarily to the increase, rather than simply the transmission, of knowledge. These changes inevitably resulted in a splintering of formal learning into even smaller segments, which led in turn to even narrower scholarly

specialization. John Higham, professor of history at the Johns Hopkins University, wrote of scholarly specialization (Oct. 1978, pp. 40-41):

Because specialization narrows the competence of each individual and makes him more dependent on others, a democratic society must either resist specialization or welcome it indiscriminately. When modernization made the advance of specialization inevitable, Americans set out to give everyone an opportunity to become an expert in some area.... Not only did the Americans narrow and intensify the work required for the Ph.D., so that it became a certificate of specialization, they also created a system in which every Ph.D. could aspire to his own independent sphere of influence. This was done by organizing university faculties into departments. In a department, a number of autonomous Ph.D.s divided responsibility for a field of knowledge. Every one of those Ph.D.s could have unchallenged control of his little portion of the field.

In the United States today, the academic generalist has been succeeded by the academic specialist. University presses have played a significant role in this process by serving as an outlet for the fruit of academic specialization.

Curtis Benjamin compared the continual fractionalization of knowledge to the growing of a mighty tree. As scholars become more specialized, the books that result from their research become more specialized. Benjamin wrote (1974, p. 283) that the subjects of specialized books represent twigs on the tree of knowledge. The number of specialized monographs -- Benjamin's "twig books" -- multiplies as the tree grows, but the twigs themselves are no larger or more important.

Scholarly publishing has struggled to accommodate the explosion of knowledge that it has played a role in creating. Since World War II

in particular, the exponential growth of academic specialization has strained the scholarly publishing environment. When this strain reached a crisis point, the National Enquiry into Scholarly Communication said (1979, p. 30):

In this kind of situation, many organisms (or writings) cannot survive, and evolution takes place more rapidly. There is intense competition for survival; thus it can be said that publication is too difficult. There is also more published than the system (or the mind of a scholar) can absorb or sustain; thus it can equally be said that publication is too easy.

Some compare the publication of specialized monographs to the fitting together of a jigsaw puzzle or the gradual building of a great cathedral. But August Fruge, director emeritus of the University of California Press, believes that although scholars may indeed stand on the shoulders of other scholars at times, scholarship itself is not a huge cooperative structure, with thousands of little gaps to be filled in by ant-like workers. He wrote facetiously (Oct. 1978, pp. 31-32):

When an editorial committee is considering a competent but unexciting work on a subject of no great importance, someone is sure to announce that Professor X has filled a gap. When the ribald laughter has died down, we can understand that he has fitted a piece into the great puzzle or has fashioned a minor building block, and if we will only put it into place by publication, then other workers can make other blocks and put them in place on top or around it. And so upward and outward to the eventual glory of human knowledge.

This approach is a teleological view of scholarship. The individual puzzle parts are not important in themselves, but are important in completing the puzzle. But Fruge believes each work deserving publication must make a major contribution of its own.

Morris Philipson, director of the University of Chicago Press, said university presses often are caricatured as publishing hard-core pedantry. He wrote (Oct. 1974, p. 9):

- This is as true, let's say, as the caricature of academics as determined to learn more and more about less and less. These are unsympathetic descriptions of the value of specialization. Without an interest in the intellectual study of literature, what can one do but laugh at the appearance of a scholarly monograph on the role of the confidante in six novels by Henry James? Without an interest in history, what can one do but sneer at the appearance of a 600-page book selling for \$17.50 on the influence of Roman law on the government of the Holy Roman Empire? Without an interest in sociology, or psychology, or political science, nothing published by scholars working in those disciplines of thought will appear of any value. But then, the person without these interests is unsympathetic, because he is outside looking in.

Philipson said publishers face a dilemma in making specialized knowledge known to non-specialists (Berkley, July 6, 1984, p. 33):

Somewhere beyond the ordinary layman making fun of arcane studies and the American ideal of egalitarianism, somewhere between those two positions is a vague assumption that knowledge ought to be common, available to everyone.... How do you talk with a layman about particle physics, or field and ring theory in mathematics, or debates over the nature of evolution in biology, or even over differences of points of view in literary theory? There are different languages being spoken, and unless you learn the language you cannot really understand what a thing says.

There is an enormous effort that takes place in this country in an attempt to bridge the gap between specialized knowledge being developed in academic institutions and what the layman can understand. Even Sunday supplement newspaper journalism feeds on that, more often than not making the mistake of trying to be sensational. But it's a very difficult row to hoe, because you're trying to engage the attention of someone who has no known interest in a given field of thought.

The Advantages of List-Building

The scholars who write most of the books published by university presses are specialists -- be it in Tudor England, micro-economics or the antebellum South. To be successfully published, scholars must recognize this truth: Just as scholars now specialize, so do university presses. Some presses publish books on Tudor England; others shun the topic. A micro-economics manuscript would interest the MIT Press but would not interest the Louisiana State University Press. Conversely, LSU would express interest in a work on the antebellum South while MIT wouldn't.

The reason for this is the acknowledgement among scholarly publishers that few presses can successfully publish in all fields. The tree of knowledge has grown too big. Academe has grown too specialized. The audience has grown too diverse.

Today, few university presses invite manuscript submissions in all disciplines. Instead, most scholarly presses specialize in selected subject fields as an aid to both the editorial and marketing functions. They seek to establish their own distinctive identity in scholarly publishing by specifying areas of specialty. This is called list-building. The list represents the areas in which a press chooses to publish programmatically.

List-building has numerous editorial advantages. Because of the increasing fractionalization of knowledge, no editor can keep abreast of the latest developments in all disciplines. The puzzle has too many

pieces; the cathedral has too many building blocks. By concentrating on limited areas of publishing, though, editors can become more knowledgeable of developments in their designated interest areas. This, in turn, allows them to be more effective at cultivating and nurturing personal acquaintances with scholars in these areas. The editors can, at least superficially, stay abreast of the literature in their assigned areas. They can attend the annual meetings of learned societies in the subject areas they cover and not fret about other society meetings that time and budget would not permit them to attend anyway.

Another editorial advantage of list-building is that editors can deal summarily with unsolicited manuscripts that fall outside the press' list. "If this doesn't seem a whopping big time-saving advantage, just ask any overtaxed acquisitions editor," J.G. Goellner, director of the Johns Hopkins University Press, said (Oct. 1983, p. 7). "The editor presumably has to say no in nine cases out of 10, and it certainly saves time to be able to say no without reading the manuscript."

Finally, a press that specifies its list-building territory can develop a reputation as a specialist in certain disciplines. This provides visibility and presence. It can help attract the best of authors in the discipline, too.

List-building by university presses also has marketing advantages. Promotion and marketing managers agree that it is more productive and cost-efficient to promote a list that is focused in

relatively few areas than one that, in the words of Goellner, is randomly assembled and consists largely of orphans -- books published without other new titles or backlist to support them.

- The importance of list-building is evident in the importance that backlist sales play in university publishing. The backlist consists of all titles still in print but not on the current year's list. Commercial publishers depend on sales during the year of publication; scholarly publishers rely on consistent sales across the years. At the University of Chicago Press, about two-thirds of the press' income from book sales comes from its backlist ("The University of Chicago Press," Oct. 1984, p. 42). Loren Hoekzema of the Princeton University Press said backlist sales represent more than 60 percent of total sales for the larger university presses (April 1984, p. 237). These presses depend on backlist sales to support frontlist publication.

From a marketing standpoint, then, the key is to have a frontlist of new titles so closely related to the existing backlist titles that they can be promoted together. "People often make the erroneous assumption that because we've published something in a field, we wouldn't be interested in something closely related," said Barbara Hanrahan, acquisitions editor of the University of Wisconsin Press. Actually, the reverse is true. Presses want to develop a list of books that are closely related. To publish a book that is good and worthy, yet outside the press' list, would force the press to expend an inordinately large percentage of the marketing budget to reach an audience it normally doesn't reach.

The National Enquiry into Scholarly Communication gave presses
a specific recommendation on this matter (1979, p. 111):

No American scholarly press is large enough to publish effectively in all disciplines. A press in a large university may be under pressure from 30 or 40 departments to publish in their fields. Politically, since the press is supported by and is intended to serve the university, it is difficult to resist these pressures, especially when works of undoubted quality are offered. But the press may have the capacity to publish only 30 to 50 books per year, and if it publishes only one or two titles a year in a field, it cannot market them efficiently. Roughly, a press can have 10 specialties if it publishes 50 books a year, or six if it publishes 30. It should plan and, on the average, publish about five books per year in each field in which it specializes. The fields of specialization must be carefully chosen by the staff and the board of the press, keeping in mind the strengths of the university and the press' previous performance.

Malcolm MacDonald, director of the University of Alabama Press, said he is trying to follow those guidelines, but it is difficult for a press that publishes only several dozen new titles a year. He said the acquiring of five worthy titles in each area of specialty is "easy to do if you're a Harvard or Yale, but not that easy for an Alabama. On our list are some very, very fine books that are orphans."

Proper list-building, then, means having to say 'no' to manuscripts that fall outside the designated list. Editors, of course, may make an exception for an exceptional manuscript. But, in general, most university presses do not consider manuscripts outside their lists.

"Unless a press is willing to decide that there are a number of academic disciplines in which it will not publish, it will by default

continue to publish whatever meritorious book comes its way regardless of the subject," Goellner said (Oct. 1983, p. 9). "That's what most presses have done for most of the history of university publishing in America. It has been the easiest thing to do. It might no longer be the best."

Fred Woodward of the University Press of Kansas has tried to focus the press' list since becoming director. "The press published all over the map," he said. "It was eclectic. Yet there was almost no political science publishing." That was unusual since the cornerstone of the Kansas press is a series of histories of the American presidencies. Fifteen volumes have appeared to date. All other volumes have been commissioned except for the presidencies of Andrew Jackson, Woodrow Wilson and Ronald Reagan. Since Woodward's arrival, Kansas has sought to complement the series by developing a list in presidency-related titles.

"It is inescapably clear to me that we must develop specialty areas in publishing -- and publish three or four titles a year in those areas -- to develop a presence in the field, a reputation in publishing," Woodward said. "But it's also inescapably clear to me that we cannot shut the door in areas outside our areas of specialization that originate from the faculty of our six universities." He said the press never rules out a good manuscript, even when it falls outside the designated lists, particularly if written by a home author. "We specialize," he said, "but we don't blindly follow our specializations."

The lists developed by university presses are delightfully diverse. The University of Pennsylvania Press publishes in such disparate fields as social linguistics, folklore and economic theory. The list of the University of Illinois Press ranges from film studies to child development to working-class histories. Editors at the University of Nebraska Press are list-building in such unrelated areas as agriculture, psychology and music.

The list is where presses can create their own niche in the crowded world of scholarly publishing. The Iowa State University Press seeks manuscripts on aviation, Kent State University Press has a list in utopian studies, and the MIT Press publishes works dealing with artificial intelligence. The Columbia University Press pursues astronomy and space science studies, the University of Arizona Press publishes arid-lands studies, and the LSU Press has an interest in jazz manuscripts. The University of Minnesota Press publishes in psychometrics, Indiana University Press in semiotics, and the Southern Illinois University Press in science fiction. The Colorado Associated University Press has a list in theoretical, atmospheric and space physics. Considering how university presses share a common goal of intellectual inquiry, it is remarkable how diverse their lists have become.

The Humanities and Social Sciences

University presses primarily publish in the humanities and social sciences. A 1948 study by Yale University Press director Chester Kerr

found that 52 percent of the books published by university presses were in the humanities, 34 percent in the social sciences and 14 percent in the natural sciences. Two decades later, Kerr found little change. A 1968 sampling (Oct. 1969) showed the same 52 percent in the humanities, 37 percent in the social sciences and 11 percent from the natural sciences.

Such categorization would be difficult today. The category known as "the humanities" consists of such mainstays as history, literary criticism and philosophy. The "social sciences" include political science, anthropology, sociology and economics. Yet categorization increasingly depends on research methodology. For instance, many presses consider archaeology to be in the humanities along with classical studies. Other presses consider archaeology to be a social science because of its increasing emphasis on computer simulations. Broad categorizations, then, must be made with caution.

But it certainly is safe to say that history and literary studies are the most common areas of list-building among university presses. Table 2.1 shows that almost all university presses specify history as a list-building area, three out of four specify literary theory or criticism, and almost half specify philosophy as a publishing area. Among the social sciences, half of the presses specify political science as a list-building area, with strong interests in anthropology, sociology and economics/business. A smaller ratio of university presses seek manuscripts in the natural sciences, with the biological sciences a more popular list-building area than the physical sciences.

Table 2.1

Leading List-Building Areas of University Presses

List-Building Areas in the Humanities	No. of Presses (N=53)
History	49 (92%)
Literary theory/criticism	40 (75%)
Philosophy	24 (45%)

Another 18 presses listed "humanities" without specifying disciplines. As a result, the number of presses publishing in these areas may, in fact, be higher than reflected above.

List-Building Areas in the Social Sciences	No. of Presses (N=53)
Political science	27 (50%)
Anthropology	24 (45%)
Sociology	20 (38%)
Economics/business	16 (30%)

Another 18 presses listed "social sciences" without specifying disciplines. As a result, the number of presses publishing in these areas may, in fact, be higher than reflected above.

List-Building Areas in the Natural Sciences	No. of Presses (N=71)
Biological sciences	22 (31%)
Physical sciences	14 (20%)

NOTE: Data were based on list-building areas of the 74 U.S.-based university members and affiliates of the Association of American University Presses, as published in the 1985-86 AAUP Directory. Three presses (Naval, Teacher's and Gallaudet) were omitted because they publish in single-specialty areas, hence the N of 71.

The list-building designations of university presses are intended to encourage the submission of manuscripts in the named disciplines. But presses seldom strictly adhere to their lists. For instance, the fact that only half of the presses specify political science as a list-building area doesn't necessarily mean the other half would shun an outstanding political science study should it come to their attention. A publishing list simply announces a press' preferred areas of intellectual inquiry.

Rather than specify list-building areas by discipline or interest area, many university presses list the broad areas of "humanities" or "social sciences." Some presses, such as the Fordham University Press and the University of Pittsburgh Press, keep their list-building areas deliberately wide in order to choose from an assortment of proposals. Others, such as the University Press of New England, do so because they serve a consortium of universities with a wide array of interests. Still others, such as the Harvard, Yale and Princeton presses, publish enough titles each year that a manuscript on almost any topic would fit at least one existing list.

Table 2.2 shows other leading list-building areas. Roughly a quarter of the presses listed music, religion, art/art history, women's studies, and languages/linguistics as publishing areas. Other list-building areas specifically named by at least five university presses were archaeology, natural history, psychology, folklore, architecture, classical studies, law, film studies, education and agriculture.

Table 2.2

Other List-Building Areas of University Presses

Other List-Building Areas	No. of Presses (N=53)
Music	14 (26%)
Religion	13 (25%)
Art/art history	13 (25%)
Women's studies	13 (25%)
Languages/linguistics	12 (23%)
Archaeology	10 (19%)
Natural history	10 (19%)
Psychology	9 (17%)
Folklore	9 (17%)
Architecture	8 (15%)
Classical studies	7 (13%)
Law	7 (13%)
Film studies	6 (11%)
Education	6 (11%)
Agriculture	5 (9%)

NOTE: Data were based on the 53 university presses that specified list-building areas. Another 18 presses listed "humanities" or "social sciences" in general. Some of those 18, of course, publish in the areas listed above although they do not so specify. As a result, the number of presses publishing in some of these areas may, in fact, be higher than reflected.

Overall, history is the most common area of scholarly publication. But history encompasses a wide spectrum of academic interests. So in order to take advantage of the editorial and marketing concepts behind specialization and list-building, university presses frequently specify interest areas within the broad framework of history. American history, for example, is a popular sub-specialization. Some presses specify list-building areas even more narrowly. The University Press of Virginia publishes American colonial history, while the Kent State University Press has a special interest in American diplomatic history. The Texas A&M University Press and the University of South Carolina Press both emphasize military history, and the University of New Mexico Press publishes on American frontier history.

European history is another sub-specialization common among university presses, and some presses narrow that field as well. The University of Iowa Press invites submissions in German history, the University of Nebraska Press emphasizes the modern history of western Europe, and the Northern Illinois University Press publishes both Russian and Latin American histories.

Another concept of list-building is to concentrate on cultural regions or peoples. Nine presses specify Asian studies as an area of concentration, while seven presses emphasize Latin American studies. Other presses specify lists in African studies, Middle East studies, Soviet studies or eastern European studies. Some presses emphasize areas appropriate to the cultural history of their states or constituencies. The Catholic University of America Press has a list

in Irish studies, the LSU Press in French studies, the University of Minnesota Press in Nordic area studies, and the University of Nevada Press in studies of the Basque peoples of Europe and the Americas.

- Presses also specify identifiable groups within American culture. The Indiana University Press and the University of Alabama Press publish in Judaic studies. A host of Western presses publish native American studies and, back East, the Syracuse University Press invites manuscripts dealing with the Iroquois. The study of blacks in American culture goes under a variety of names -- Afro-American studies, black studies, racial and ethnic studies. The presses representing Howard University, the University of Illinois, Indiana University, the University of Massachusetts, Temple University, the University of Tennessee and Trinity University specifically invite manuscripts in this field.

No clear lines of separation may exist between fields. A history of blacks in Southern politics certainly falls in the category of history, but it also ranks as Southern studies, black studies and political science. It may fit other categories as well, depending on methodology and on whether a historian, a political scientist, a sociologist or a journalist conducted the study. For that reason, a list is designed to provide specific topics of interest but not in a way that would narrow interest areas unnecessarily.

The second most-common publishing field among university presses is literary criticism. It, too, has sub-specializations with interests ranging from the pragmatic philosophy of William James to the

romanticism in the writings of Keats, Wordsworth and Blake. The University Presses of Florida, the Stanford University Press and others publish literary theory as well as literary criticism. The Northeastern University Press specializes in French literary criticism, the Ohio State University Press specializes in Romance literature, and the cross-state Ohio University Press specializes in 19th century literary criticism. Although many university presses are cutting back on the number of new titles in literary criticism, only two presses -- the University of Arizona Press and the Utah State University Press -- specifically state that submissions in literary criticism are not welcome. The other presses at least leave open the possibility.

To leave open the possibility, however, means having to deal with queries and even unsolicited manuscripts in a particular field. Many presses, as a result, specify areas in which manuscripts are not considered. Fordham University Press does not consider manuscripts in music, science or mathematics. The University of Hawaii Press avoids Latin American studies. Princeton University Press publishes nothing in medicine. The Southern Methodist University Press does not consider manuscripts in classical studies. The University Press of Virginia shuns education and psychology, and the University of Washington Press does not publish in law or mathematics. By making such prohibitions, a press is freed to deal summarily with any proposal or manuscript in these fields.

An author needs to recognize which presses might be receptive to a particular topic. The Cornell University Press, among others, specifically states that it publishes art history; the Columbia University Press specifically states that it does not publish art history. The University of Pittsburgh Press publishes in mental health, the University of North Carolina Press publishes in health care, and the Johns Hopkins University Press publishes in health policy administration. Three university presses specify journalism on their lists: the Columbia University Press, the Iowa State University Press and the Southern Illinois University Press. The University of Iowa Press and the University of New Mexico Press publish histories of photography, and the University of Texas Press publishes in archival and contemporary photography.

Presses also publish books about their geographical regions. The University of Nebraska Press and the University Press of Kansas seek manuscripts on the Great Plains. The University Press of Kentucky and the University of Tennessee Press are among the presses that publish Appalachian studies. The University Presses of Florida publish botanical studies of the southeast United States. The New York University Press invites submissions concerning its city or state. The Southern presses, in general, express automatic interest in manuscripts dealing with the South, both past and present. Similarly, the Western presses welcome manuscripts dealing with Western Americana.

How Presses Choose Their Lists

University presses do not conspire in the development of their specialty areas. Each press develops its own list, and the list may undergo continual modification. This means there will be overlapping and competition in some scholarly areas, while other areas may be underrepresented.

The creation of a list is the product of four criteria -- the strengths of the parent university, the publishing heritage of the press, the sales potential of various fields of inquiry, and the scholarly interests of the editors themselves.

The first consideration in the formation of a list is the press' desire to reflect strengths of its parent institution. A university press, however, cannot be a full-length mirror. Scholarly research in any university is too diffuse. But, naturally, a press has an obligation to reflect at least some of the particular strengths and emerging interests of the parent institution. The MIT Press, for instance, is heavily weighted toward engineering, technology, architecture and neuroscience. The University of Hawaii Press, logically, specializes in Asian and Pacific studies. The Duke University Press is a publishing entity closely tied to the academic specialties of its parent institution. Duke has a center on aging, and the press publishes books about gerontology and medical care for the poor and elderly. Duke has an institute in science and human values, and the press publishes in the field of ethics. Duke has a divinity

school, and the press publishes in religion. Duke has an international studies center, and the press publishes policy studies along with Soviet and eastern European studies.

In the desire to reflect the strengths of the parent institution, one complication is that some university presses have multiple institutions to reflect. Because of the merger of universities into statewide systems, some university presses serve more than their home institutions. The presses in Colorado, Florida, Kansas, Kentucky, Mississippi, Tennessee and Virginia are among those serving state systems. In 1970, institutions in several Northeast states joined to create the University Press of New England. The press now represents Brandeis University, Brown University, Clark University, the University of Connecticut, Dartmouth College, the University of New Hampshire, the University of Rhode Island, Tufts University and the University of Vermont. As a consortium, the New England press seeks to serve an unusually broad range of scholarly interests at its campuses. "If we serve our members, we can't be too narrow," said Thomas McFarland, director of the New England Press. So the consortium press' list ranges from Judaic studies, recognizing a strength of Brandeis, to Renaissance writings, recognizing a strength of Dartmouth. Realizing the diversity of its offerings, the New England Press opened its Spring 1986 catalog with this unusual message:

'All publishers are rotten pimps and I hate every one of them, but you must accept their usefulness.'
That was the opinion of Louis-Ferdinand Celine, the controversial mid-20th century French writer who appears prominently on our Spring 1986 list as both author and

subject.... This is outrageous and offensive; yet, as sometimes happens in Celine's writing, the slander contains a core of truth that might not otherwise be conveyed so memorably. Like most publishers, we try not to take ourselves too seriously. We are indeed middlemen. We purvey intellectual, artistic and emotional sustenance, the fruits of our authors' creations, to readers whose hungers and needs are every bit as real as the physical ones to which Celine alludes. We hope that the fine and diverse list which we present ... will satisfy a wide variety of readers and book buyers. With such a list, we are pleased to reassert our usefulness.

The second consideration in the formation of a university press list is the publishing heritage of the press. Some presses have developed longstanding reputations based on their lists. The University of North Carolina Press has been best known through the years for Southern studies. Starting in the 1930s, the press published critical studies concerning education, tenant farming, child labor and race relations in the South. This aggressive publishing program in controversial areas brought financial support from Northern foundations and praise from eminent scholars. At one point, noted historians Henry Steele Commager and Allan Nevins even declared North Carolina to be the best of the nation's university presses (Williams, Oct. 18, 1981, p. 13). Today, the North Carolina Press continues to emphasize Southern studies.

The University of Minnesota Press has developed a reputation in health sciences. The best-known Minnesota title is The Doctors Mayo (1941), acclaimed as one of the great medical biographies. Minnesota's health sciences list really began expanding in 1981, assisted by a \$100,000 foundation grant. The health sciences list includes clinical

works, medical history and instructional books for the lay reader (Grannis, July 29, 1983, pp. 28-29).

Some presses are mandated to restrict their lists to certain fields. The Naval Institute Press is limited by its charter to maritime studies. All manuscripts must be water-related -- be they biographies, histories or fiction. The Gallaudet College Press publishes only in deaf studies since the parent institution is a school for the deaf. The Teachers College Press publishes only in education. The Memphis State University Press publishes little else but the Tennessee County History Series -- separate histories of each of Tennessee's 95 counties. This series is the press' current publishing mandate, and three or so volumes appear each year. The Catholic University of America Press publishes about 15 new titles a year, primarily in philosophy, theology, European history, and medieval and Renaissance literature. "We're a Catholic institution, and we publish with that in mind," said Director David McGonagle.

Newer university presses have no publishing heritage, so they have more flexibility in list-building. The University of Arkansas Press was established in 1980. "We'll take our list where our manuscripts lead us," said Miller Williams, the press director. "Our list is still defining itself. I find there's a self-generating effect." In 1983, the Arkansas press published China and the Overseas Chinese in the United States, 1868-1911, by Shih-shan Henry Tsai. "Within a few months," Williams said, "we had received a dozen submissions in the general field of China-U.S. relations, but we

didn't like any of them well enough to publish. We didn't take any. But if we had, we might have become known as a press that publishes in China-American relations."

By publishing the China book, the press had opened the gates; the press quickly closed them. "The press would have had to print a form letter to handle the flood," Williams said. "Writers send manuscript proposals to presses that publish in what they write." Williams used as a metaphor the formation of planets. "When little masses come together into a larger mass, the gravity center becomes greater. If you publish four, you attract eight. Publish eight and you attract 16. The mass of the submissions grows exponentially," he said. "It's an example of snowballing. The reason I like an astronomical metaphor more than snowballing is that you're not going downhill -- but you may be going in circles."

The third consideration in the formation of a list is the sales potential of particular fields of inquiry. Libraries serve as the leading institutional buyers of university press books. But as the library sales percentage declines, publishers recognize the need to appeal to individual book buyers. Editors routinely state that American historians buy books, and so do bird lovers; poets don't, and neither do literary critics or theorists. This doesn't mean that university presses flock to bird-book writers and shun the proposals of literature professors. But in time, editors said, sales records cannot help but influence the development of a publisher's list.

For example, the University Press of Kansas still publishes literary criticism, but less of it than once published. Director Fred Woodward said the press also publishes fewer books in European history and Slavic studies -- two more traditional low-sales categories. In their place, the Kansas press is publishing more political science, political philosophy, and 20th-century social American history -- scholarly fields with more active buying audiences.

Lists are not static but are continually evolving. The Texas Christian University Press was facing extinction when Keith Gregory moved from the English Department faculty to the press directorship in 1982. His first priority was to devise areas of specialization that were economically viable. The press decided to emphasize rhetoric and composition, religion, sports, young adult books, fiction, Texas and Southwest studies, and the American presidency. Gregory, who has since moved to the Southern Methodist University Press as director, said the TCU Press started a list in presidential studies because a benefactor was willing to underwrite scholarly books in that field.

Finally, the interests of the editors themselves represent the fourth consideration in the formation of a list. Many of the university press directors and senior acquisitions editors -- the positions most likely to influence the development of a press' list -- have English literature backgrounds. Table 2.3 shows that a third of the directors and more than 40 percent of the senior acquisitions editors specialized in that field during their student days. The study of history was a distant second.

TABLE 2.3

Fields of Study of Press Director and Senior Acquisitions Editor

Field of Study in College	Director (N=51)	Editor (N=45)
English	17 (33%)	18 (41%)
History	8 (16%)	5 (11%)
Economics	3 (6%)	2 (5%)
Natural sciences	3 (6%)	2 (5%)
Philosophy	3 (6%)	2 (2%)
Art	3 (6%)	--
Education	2 (4%)	4 (9%)
Anthropology	2 (4%)	2 (5%)
Journalism	2 (4%)	1 (2%)
Political science	2 (4%)	1 (2%)
Classics	2 (4%)	1 (2%)
Religion	1 (2%)	2 (5%)
Psychology	1 (2%)	--
Engineering	1 (2%)	--
Mathematics	1 (2%)	--
Modern languages	--	3 (7%)
Sociology	--	2 (5%)

NOTE: Data were based on a 1986 survey of the 74 U.S.-based university members and affiliates of the Association of American University Presses. Fifty-two responses were received for a 70.2 percent response rate. One press did not specify its director's educational field of study, hence the N of 51. The smaller response rate for the senior acquisitions editor position was due to the position being vacant at two presses at the time of inquiry and, at some smaller presses, the director serves as the acquisitions editor. The individual was not included twice. A few directors and senior editors listed more than one field of study. This table reflected the first field listed.

It is not surprising that the vast majority of university press directors and senior acquisitions editors have backgrounds in the humanities. Disciplines such as English and history are obvious training grounds for publishers because of their emphasis on the written word. Only three responding directors and two senior acquisitions editors reported the natural sciences as their primary field of study as students.

Publishing the Natural Sciences

Although university presses primarily publish in the humanities and social sciences, about a third of them publish in some aspect of the natural sciences. Few, though, offer as broad a list in the natural sciences as they do in the humanities and social sciences. For instance, the Johns Hopkins University Press publishes in earth and planetary sciences but not in physics or chemistry.

Through the years, university presses have primarily yielded responsibility for the publication of science monographs to commercial publishers. Why?

One reason is historical. Even in the formative years of university publishing, the presses never fully mirrored the strengths of their parent institutions. Presses were not expected to publish in physics or chemical engineering, no matter how strong the local faculty in those areas. The presses began with the humanities and social sciences and have been sustained by them. Science, medicine, law and engineering were well-served in the meantime by commercial

publishers who found the areas profitable (Goellner, Oct. 1983, p. 6).

A second reason is editorial preference. As Michael Aronson, now a general editor at the Harvard University Press, wrote (Oct. 1973, p. 53):

University press directors and editors, by and large, have been educated in the humanities and have little knowledge of or interest in the natural sciences. So in 1945, when university presses entered upon their modern period of growth and the post-war boom in science began, science publishing became, by default, captive to the commercial publisher.

A third reason is the marketplace. The potential readers of monographs in the humanities and social sciences are almost always found within academe. The potential readers of monographs in the natural sciences are just as likely to work in a research institute or commercially as in academe. Many university presses have not developed marketing tools for such audiences.

A fourth reason is timeliness. Scientists, far more than those in the humanities, build on the work of others. Research in the natural sciences has a more immediate need for publication. A qualitative difference exists between the literary timeliness of books in the humanities and the natural sciences. As a Canadian study said (cited in Morrison, Jan. 1980, pp. 157-158):

In the humanities, the classic works of literature and criticism retain indefinitely, and even enhance with time, their original significance. By contrast, the original disclosure of even the most seminal discovery in science and engineering seldom retains the standing of a literary masterpiece. Moreover, the progressive

development of scientific knowledge requires of its 'literature' a cumulative capacity and an austere style. The difference has been brought out succinctly by the advice of an eminent literary authority: 'in science read, by preference, the newest works; in literature, the oldest.' The vitality and the productivity of science depend, in fact, on a communication system that ensures the precise and comprehensive diffusion of research results within the shortest practical time.

This ties directly to a final reason, which is a difference in preferred method of diffusion. Science is less dependent on book-length studies. The predominant form of publication in the natural sciences is the journal article, often 30 or fewer pages in length. The humanities and social sciences are more analytical and interpretative in nature. A writer can spend 300 or more pages analyzing rhetoric as social imagination or the idea of good in Platonic-Aristotelian philosophy. But a writer in the hard sciences relies more on provable theory than on unprovable logic. For instance, Albert Einstein's 1916 paper on general relativity runs about 60 pages -- an enormous length for a paper of pure theory in physics.

Not only is journal publication usually faster than book publication, but books carry two more endemic problems when compared to journals: higher costs of publication and short print runs that lead to high retail prices.

Interestingly, Curtis Benjamin's "twig book" concept originally applied to the publication of scientific research. When a new field forms from the conjunction of two old ones, the new field must

necessarily have fewer adherents and practitioners than either of the old ones. Thus, from organic chemistry and physical chemistry came physical organic chemistry. This trend toward increasing specialization keeps the potential audiences small (Aronson, Oct. 1973, p. 56), creating the dilemma of expensive publishing procedures for short print runs.

Books, though, have laid the foundations of science. In 1869, Charles Darwin presented his investigations for a particular theory of evolution in Origin of Species. Similar books have laid the foundations in other areas of science: Newton's Principia and Lyell's Principles of Geology among them. But seldom is a scientist opening up virgin territory; the scientist often is filling in gaps in knowledge. For the sake of one's career, the research must be published quickly because there may be others working on the same problem. The natural outlet, then, is the vast network of specialized learned journals (Parker, April 1972, p. 223).

Today, since the natural method of diffusion for a scientist is a journal article, most scientific monographs are designed to integrate the findings of many researchers and define the consensus of knowledge in a particular area of science. They often are planned as books from the beginning, usually with advance contracts signed before the author commences writing. University presses typically do not engage in such publishing risks because the editorial committee wants to maintain control over the imprint.

University press editors wish scientists would write books that

explain public implications of scientific policy. "We cannot seem to get science beyond the scientists. If we can't understand the scientific debate, so much for public policy questions," said David Holtby, editor and associate director of the University of New Mexico Press. "We are not reaching the public as much as we are the decision-makers."

Holtby said university press books need to make it to the second level in the two-step flow. "Our books are aimed at the first tier. We can't really make the leap from those who make the ideas to the public. If communicated, it must be filtered down. It's all very scholastical -- debated like how many angels can you get on the head of a pin. It's so specialized. They end up writing papers that are so narrow (because of) their specialized training."

In the social sciences, Holtby said, there are "no hard answers -- it's the logic that matters." But in the natural sciences, he said, "scholars have become very narrow and cautious because hard answers are possible. We do have a few grand thinkers who like to think in philosophical terms. But not many."

Another problem is that scientists have trouble reaching the public in style of writing. Holtby is looking for science writers who can do what the Harvard University Press did in genetics, sociobiology and genetic engineering -- get science books that are readable and that touch the general public. "The best science writers are on newspapers," Holtby said. "But they often are such generalists that they aren't suited to write books."

Symbiosis Between Editors and Authors

Biologists and historians, physicists and anthropologists; they all are members of the same intellectual community. At times they may be author. At other times they may be outside reader. At still other times they may be editorial committee member. They can be the same people, playing different roles in different situations.

Scholars are in a symbiotic relationship with one another in the publishing process. They also are in a symbiotic relationship with editors, who control the gates of the acquisitions process. Scholars and academic editors serve as partners in the process of scholarly communication.

Besides having backgrounds primarily in the humanities and social sciences, many university press directors are scholars themselves. In fact, the National Enquiry into Scholarly Communication (1979, p. 83) found that two out of five university press directors hold academic rank simultaneously with their editorial position.

Directors and editors alike said there is a trend to hire persons with graduate degrees to fill key vacancies at university presses. Table 2.4 shows that almost two-thirds of directors and senior acquisitions editors have a master's degree. Eight directors and another eight editors have a Ph.D. At only one press did both the director and the senior acquisitions editor have a doctorate, meaning that 15 of the 51 responding presses -- almost 30 percent -- have an individual with a Ph.D. in one of the top two editorial positions.

TABLE 2.4

Highest Educational Attainment of Press Director and Senior Editor

Highest Educational Level	Director (N=51)	Editor (N=45)
Bachelor's degree	20 (39%)	15 (33%)
Master's degree	20 (39%)	20 (45%)
ABD	3 (6%)	2 (4%)
Ph.D.	8 (16%)	8 (18%)

NOTE: The smaller response rate for acquisitions editors was due to the position being vacant at two presses at the time of inquiry and, at some smaller presses, the director served as the acquisitions editor and was not included twice. "ABD" (All But Dissertation) is a common description for persons who completed doctoral coursework but not the dissertation.

At an Association of American University Presses convention in the 1970s, a Harvard University history professor caused a mild uproar by recommending that all university press editors acquire a Ph.D. so that faculty members might speak to them as equals. Edward Tripp, an editor at the Yale University Press, responded to that recommendation by writing (Jan. 1977, pp. 101-102):

This is impractical. Scholars can get along with one Ph.D.; editors would need one for each of the several disciplines that most of them deal with. No, although they may be well informed in one or two fields, they are doomed to remain essentially amateurs in a world of professionals.

Still, a number of university press directors and editors have proven

themselves as scholars in their own right by obtaining a Ph.D. In some cases, they had intended to enter the professorate but became sidetracked into scholarly publishing. Henry Tom, acquisitions editor in social sciences at the Johns Hopkins University Press, earned a Ph.D. from the University of Chicago in 1975 in Renaissance history. "Many who would have taught a decade earlier went into publishing because of the tight academic market," Tom explained. This, he said, is good for scholarly publishing. "Because so many of us have advanced degrees, editors are better equipped to know where scholarship is moving because of our own personal interest in it."

The director of the Catholic University of America Press, David McGonagle, has a Ph.D. and is a faculty member in the classics. Before becoming press director, he was the executive assistant to the provost at the university.

One of the leading figures in scholarly publishing today is Morris Philipson, director of the University of Chicago Press. A Fulbright fellowship in Munich preceded his Ph.D. from Columbia in 1959. He was a philosophy lecturer at New York's Hunter College when the city ran into snags in preparing its school budget. During that time of limbo, Alfred A. Knopf asked him to join the company as editor of the new Vintage line. He later worked for Random House and then Basic Books, founded by Arthur Rosenthal, now the director of the Harvard University Press. Eight years after entering publishing, Philipson had become director of the Chicago press, where he directs a staff of more than 200. Philipson has won praise not only as a

publisher of other people's books but as an author himself. His scholarly work on Jungian aesthetics, stemming from his doctoral dissertation, is only one of his several published nonfiction books. He's also written a biography of Leo Tolstoy for teenagers and four novels -- the latest an award-winner for Simon & Schuster. His writing career had a familiar beginning, though. His first novel was rejected by 22 U.S. publishers before it was published overseas.

Fred Woodward, director of the University Press of Kansas, said, "Like most people, I backed into scholarly publishing." Woodward was pursuing a Ph.D. in English at Tulane but never started the dissertation because he decided he didn't want to teach. He also married and started a family. "It had come time for gainful employment," Woodward said with a smile. An aunt actually planted in his mind the idea of working for a scholarly press. He went to the library, copied names and addresses from the latest Literary Market Place and sent out blind letters. The University of South Carolina Press responded favorably. He was hired as a manuscripts editor, replacing a woman who had committed suicide. His first assignment was to edit Jacob Eckhard's Choirmasters Book of 1819. He spent 11 years at South Carolina -- first as a manuscripts editor, then as the marketing director -- before becoming director of the Kansas Press in 1981.

Other directors came to university presses with commercial publishing experience. William Frohlich of the Northeastern University Press began his career at Doubleday and worked for two textbook

publishers before entering the world of scholarly publishing. Matthew Hodgson of the University of North Carolina Press worked for Houghton Mifflin and for the University Press of Kentucky before returning to his alma mater. Richard Rowson was hired from a New York publisher to revitalize the Duke University Press. Thomas McFarland was on the staffs of the University of California Press, the Johns Hopkins University Press and a small textbook publisher before becoming director of the University Press of New England.

David Gilbert, director of the Cornell University Press, found some interesting trends upon conducting a survey of the backgrounds of 60 university press directors (April 1982). Half of those who became directors before 1970 entered the world of publishing through a university press, and a quarter of them entered through commercial publishing. The ratio evened out for directors appointed from 1970 to 1975. But among directors appointed after 1976, almost two of three started in commercial publishing. Similarly, the first job in publishing for long-time directors tended to be an editorial position. Among more recent directors, the first job in publishing tended to be in marketing. Gilbert's study found that more than 90 percent of the directors were male, that about a quarter had teaching experience and that almost half had worked at some point in commercial publishing.

The storyline for acquisitions editors is similar. Doug Mitchell completed doctoral coursework but not the dissertation from the University of Chicago. He became an acquisitions editor at the Chicago Press in 1977 after working for Scott-Foresman in its college

division. Charles Grench, an acquisitions editor at the Yale University Press, has a B.A. in English from DePauw (Indiana) and an M.A. in creative writing from Boston University. He entered publishing in the early 1980s and was making \$26,000 in 1986 -- a typical salary for an editor with his background and experience.

Being an editor offers both satisfactions and frustrations. James Twiggs spent 14 years as an editor at the Cornell University Press and now is acquisitions editor at the University of Arkansas Press. Twiggs said the life of an editor is attractive because "editing is a safe profession, like being a therapist or a midwife. You're not having the baby yourself." But the safety of the profession can be a frustration as well because, although editors may be on the frontiers of scholarship, they are there as observers rather than as creators of scholarship. One editor wrote (Davin, Jan. 1979, p. 125):

There are satisfactions ... for the intellectually omnivorous. At a university press, the editor is at the growing point of many intellectual disciplines. On the other hand, he must resign himself to being only a dilettante of these disciplines, at once a Casanova doomed to a life of flirtations and a midwife to other people's children.

The goal of scholarly editors is to attract for publication the best works possible. Without exception, editors said senior scholars make the greatest contributions to intellectual life because they bring to a manuscript a deeper understanding of a discipline and a freedom to their writing. Still, many books published by university presses are by junior scholars.

Table 2.5 shows that 14 of the 51 responding university presses estimated that first-time authors wrote 50 percent or more of the books they published in the survey year of 1985. Conversely, 13 other presses estimated that first-time authors wrote fewer than 20 percent of their books. The remaining presses fell between the two extremes. By converting the individual percentage estimates into actual numbers of titles and then compiling an overall average, the responding presses collectively estimated that first-time authors wrote about one in three new titles. With two-thirds of the frontlist claimed by established scholars, it is no wonder that first-time authors may feel hard-pressed to get published.

TABLE 2.5

Estimate of Percentage of Books Written by First-Time Authors

Percentage Ranges	No. of Presses (N=51)
Fewer than 10 percent	2
10 to 19 percent	11
20 to 29 percent	8
30 to 39 percent	13
40 to 49 percent	3
50 percent or above	14

NOTE: These ranges were not specified in the questionnaire. The open-ended responses have been grouped for ease of comparison.

Naomi Pascal, editor-in-chief of the University of Washington Press, said she enjoys finding and publishing the first-time author. "Part of our function is to identify and encourage promising young scholars," Pascal said. "But usually the authors who are easiest to deal with are the most distinguished senior scholars. They have had enough professional experience. It's not like their lives and careers hinge on this publication. A new one (junior scholar) feels he has to understand everything, so he goes overboard. His insecurity may make him subservient, or it may make him arrogant."

Senior scholars typically do not have as much invested in their latest publication, unless it is considered their magnum opus. They aren't facing the tenure gun. They already are at the full professor rank. They aren't seeking to initiate a reputation. James Twiggs has dealt with hundreds of faculty members during his two decades with the Cornell and Arkansas presses. "I know how overbearing some assistant professors can be," Twiggs said with a chuckle.

The author-editor relationship undergoes a transformation as the junior scholar evolves into a senior scholar. For the first-time author, Twiggs said, "the editor is the one doing the favors. He may praise the young scholar, but it's still the publisher with the upper hand. Along the way, the relationship switches -- often after the first book. Then you try to get the scholar to sign an advance contract. You suddenly start going to dinner with him. The professor then has the upper hand."

Reputations, Affiliations and Tenure

Scholars in particular disciplines have reputations among editors. Almost all editors place historians at the top of their list of best writers. Editors favor the older historians with a finely developed sense of style. English professors also are judged as writers of readable books. Political scientists, sociologists and anthropologists tend to be ranked on the lower end of the readability spectrum.

Editors preferred anonymity at this point -- for good reason. "Anthropologists write with their toes," one editor from a Western press said bluntly. "If you have a scale of 1 to 10, anthropologists will be around zero. They are by far the worst. People trained in English departments are good. Journalists are delightful. What journalists do best is take snapshots of the moment." Added an editor from a Southern press: "History professors are the best writers. English professors are okay. Political scientists write confusingly. They use too much lingo. Linguists are the worst. Their writing is very muddled."

The institutional affiliation of an author once played a huge role in publishing. Editors agreed that those days may not be over, but they certainly are on the decline. Suzanne Comer, an acquisitions editor at the University of Texas Press, once was an understudy to an editor who placed great emphasis on the author's affiliation. "I used to get annoyed sometimes," Comer recalled. "But the editor grew up in

an era when good people ended up at Harvard or Yale. If she got a manuscript from Mississippi State or from a community college, she started with a bias against the manuscript. But today, good people are ending up at small schools." Comer said she now seldom looks at a vita at the beginning. "I'm becoming less impressed with academic credentials. The 'ivory tower' has a clay foundation."

Editors agreed that a letter from a Harvard or a Yale still carries prestige. "I always pay attention to a letter from a biggie," said Thomas McFarland, director of the University Press of New England, located on the Dartmouth campus. "But I don't toss aside a letterhead from Slippery Rock College. I see outstanding people who don't get tenure at Dartmouth. It's foolish to say there aren't good people at the smaller schools."

Another editor said the scholar's institutional affiliation began to decline in importance during the 1970s. "Good people were ending up in Montana or at East Tennessee State," he said. "I won't say we don't look at letterheads, but we started using more of our own judgment, as we should have been doing all along."

Henry Tom, an acquisitions editor at the Johns Hopkins University Press, added that where a scholar got his training once also was a telling fact. "You have very good mentors these days at small colleges and at state universities. People realized in the '70s that you don't have to be at Harvard to lead the good life. You could be at Williams or at Oberlin." Tom said part of the challenge in publishing is to discover where the creative, original work is taking place. In

history, Tom said some of the best work is occurring within the state systems in California, Michigan and Wisconsin. "Some will tell you there hasn't been an original idea in some Ivy League schools in two decades," he said. "The days of judging whether we're interested in a manuscript on the basis of academic affiliation -- if the author is from Princeton, it must be good -- are disappearing."

Adds Naomi Pascal of the Washington Press: "If I get a manuscript from East Podunk U., I am less swayed by that than I used to be. I know there are extremely distinguished scholars at very unexpected universities. And because I went to Wellesley, I know that not everyone at Harvard is a good writer. These affiliations -- they do still mean something. A person with a degree from Harvard or Oxford, he has some qualifications. But it doesn't mean the other guy doesn't."

Editors said the scholar's institutional home does not matter; it's what the scholar knows that is important. Still, a bias may exist on the basis of academic qualifications. "If one doesn't have a doctorate, there is a certain amount of discrimination, I think," a Southern editor said. "In the last year, I've seen a couple of manuscripts go down the river because of the lack of credentials, even though they had good reviews."

Scholarly publishing increasingly plays an integral role in an institution's determination to grant tenure or promotion. The university press, because of its rigorous peer review process similar to that of refereed journals, has become viewed as a necessary adjunct

to the tenure and promotion system. Scholars are expected not only to engage in research but to engage in research judged worthy of dissemination.

- Editors work to keep the publishing process separate and distinct from the tenure process, although authors and even tenure committees often want to merge the two. Almost every editor has a story to tell about an assistant professor who needed a quick decision on a manuscript because a book was needed as leverage in the tenure review process.

Suzanne Comer of the University of Texas Press said she wishes she could remain ignorant of the consequences of a manuscript rejection. "I wish they (assistant professors) didn't tell you they were facing tenure," she said. "It's like students who tell you at the start of a semester that they need a certain grade to graduate. We tend to give special consideration to those who tell us they are up for tenure. When I came out of graduate school, I kept seeing myself in those pained faces. But it's risky getting too deep into this practice. We forget our purpose."

Editors may find themselves as advisers to tenure committees as well. Malcolm MacDonald, director of the University of Alabama Press, remembers getting two telephone calls just minutes apart from members of a promotion committee at the University of California at Irvine. Both wanted to know what the outside peer reviewers had said about a colleague's manuscript accepted but not yet published by the press. "I told the first caller that our readers were very complimentary, and

I also told him that -- to (the author's) credit -- he never mentioned to me the promotion thing going on. Twenty minutes later, I got a call from another committee member. I was more harsh with him. I told him the author's scholarship was sound and told him I'm not in the business of advising promotion committees."

Richard Rowson, director of the Duke University Press, said university presses often operate in a highly charged internal and external political environment. He cited a time when one of his authors was rejected for tenure, with the faculty member's critics calling his Duke University Press book "specious." That made Rowson angry. "Their comments reflected on our editorial decision," he said.

Cynthia Maude-Gemler of the University of Tennessee Press said she occasionally realizes the power she may hold over careers in her role as an acquisitions editor. "Some days I'm more aware of it than others, like when someone is coming up for tenure," she said. "But I can't judge one's work on personal considerations. I can't endorse something that isn't good."

Another result of the tenure and promotion system in higher education can be a hurried manuscript. "An assistant professor facing tenure rushes into publication prematurely, so that he or she can at least say that something is under consideration if not under contract," one editor said. Then the long, arduous process of scholarly decision-making begins. The problem is that the tenure and promotion process can result in hurried works that would have been much better without deadline pressure. Tenure and promotion timetables

in academe, then, can work to the advantage of scholarship by prodding scholars to engage in productive research. Yet the same timetables may work to the disadvantage of scholarship by encouraging premature publication.

James Langford, director of the University of Notre Dame Press, said it is essential for university press books to maintain high standards of scholarship. In describing his publishing mission, Langford said: "We are interested in good writing, in people with something to say, in new approaches to old questions -- in other words, in intellectual vitality -- not in professional jargon, quaint obfuscation, or in manuscripts that offer neither light nor heat.

"Many books should not have been published as books, but as an article or two in a specialized journal. Think how many trees would still be standing and how many warehouses would not now be jammed with books that served an author's ego and tenure quest or a publisher's desire to seem elite by publishing the quaint. I think all university presses know this today, and that's a good trend."

CHAPTER 3

ACTIVE AND PASSIVE ASPECTS OF ACQUISITIONS

Editors used to sit in their offices and wait each day for the mail to bring them manuscripts worth publishing. Today, a few manuscripts still come over the transom. But far more are actively acquired by editors scouring university campuses, going to scholarly conventions, browsing through academic journals, and writing letters of solicitation to prospective authors.

The times are gone when a university press could be passive and expend little energy yet still publish a quality list. "As every publisher knows, good books don't walk in the front door unless they see good books already there," said August Fruge, director emeritus of the University of California Press.

The California Press was one of the first university presses to set up a staff of specialized editors whose job was to prowl the academic halls, at home and away, to locate the best authors and bid for their manuscripts. "In our early innocence," Fruge wrote (Jan. 1984, p. 173), "we proposed to call them soliciting or procuring editors; after being told that we were stealing the terminology of another profession, we named them sponsoring editors, and encouraged each one to think of his/her books as a list within the larger list."

The acquisitions process is the heart of publishing. The other publishing functions -- copy-editing, book design, marketing and

distribution -- can be delegated on a contractual basis. But the one function that cannot be delegated is the decision of what to publish.

For university presses, this is a three-stage process. First, editors act as part-filter and part-recruiter. They filter all that arrives at the publishing house uninvited, winnowing out those offerings deemed unworthy or inappropriate for the list. As recruiters, they go out and do some inviting of their own. Manuscripts that rank as possibilities for publication advance to the second stage -- peer review. Scholars with expertise in the field serve as judges of manuscripts, ruling on their scholarly merit. Manuscripts judged worthy by scholars in the field then advance to the third and final stage -- the editorial committee. A group of home-campus faculty members and administrators serve as the final authority in determining whether to publish a work. The editorial committee members rely on the peer reviews and sometimes their own readings of the work. To be published, a manuscript must proceed through all three stages successfully.

Without good manuscripts brought in by editors, scholarly readers and editorial committees would have little of quality to consider. So the first stage of the acquisitions process is crucial to the creation of a good list. This first stage used to be a guarded secret. Now, editors talk rather freely of the way they work.

For instance, Doug Mitchell is social sciences editor at the University of Chicago Press. He handles unsolicited manuscripts in

the social sciences, along with letters and phone calls of inquiry. He attends the scholarly conventions of sociologists and other social scientists. He reads the academic journals in his assigned disciplines in order to stay abreast of current thought. He creates and nurtures networks in these disciplines, with the purpose of bringing the best manuscripts possible to the Chicago Press.

Mitchell, like all editors, has acquired manuscripts in a variety of ways. One day, he was sitting in his office looking out over the quadrangles when the phone rang. His caller was Gary Alan Fine, a sociologist at the University of Minnesota, who was passing through Hyde Park on his way to the Folklore Institute in Indiana. Fine was studying fantasy games such as "Dungeons and Dragons." This was at a time when the game was just beginning to be known other than to its devotees. Mitchell said he had no idea what Fine was talking about, but "it sounded intriguing." The result was Fine's Shared Fantasy: Role-Playing Games as Social Worlds, published by the Chicago Press in 1983.

Another Chicago book, American Sociology and Pragmatism: Mead, Chicago Sociology, and Symbolic Interaction by J. David Lewis and Richard L. Smith, was published after someone -- Mitchell still doesn't know who -- sent him a copy of the Notre Dame sociology department's newsletter that discussed the work of the authors. Mitchell liked the topic and contacted an author.

One of Mitchell's "network" acquisitions was John Boswell's 1980

study Christianity, Social Tolerance and Homosexuality. Boswell, a historian at Yale University, argued that the Christian condemnation of homosexuality did not exist before the time of Thomas Aquinas. Boswell first submitted the manuscript to the Yale University Press, then withdrew it. Jaroslav Pelikan, a Yale colleague and a published author by both the Yale and Chicago presses, suggested that Boswell try the Chicago Press. Boswell contacted Mitchell and they agreed to meet at a convention in San Francisco. "The minute I read his one-page proposal, I thought we were really onto something hot," Mitchell said. "We went to lunch; other publishers wanted him by this time." The book, Mitchell said, "almost single-handedly established gay studies as a legitimate academic enterprise." The book has sold about 50,000 copies, and Boswell won a National Book Award in history.

Mitchell has found publishable manuscripts under the most unlikely of circumstances. One day, an unemployed Ph.D. asked to see the press' records for sociologists of the 1920s and 1930s. On meeting James Bennett for the first time, Mitchell learned that Chicago previously had rejected Bennett's manuscript as "brilliant but off-the-wall." Mitchell liked the topic and asked Bennett to revise and resubmit the manuscript. The book, Oral History and Delinquency: The Rhetoric of Criminology, was published in 1981. "Every editor and gatekeeper dreams of discovering some lonely genius who had an earth-shattering project to offer," Mitchell said ("The University of Chicago Press," Oct. 1984, p. 46). "And it does happen. Rarely, but it does."

Manuscripts come to the attention of editors in a variety of ways. But they all share a common characteristic -- someone has to make the initial overture that leads to publication. The various methods of manuscript acquisition can be placed in three categories:

*** Author-initiated.** The author takes the initiative in establishing contact with the press. Some do this by sending an unsolicited manuscript over the transom. Others send a written query or call an editor. Whatever the method of contact, the manuscript came to the press' attention through the initiative of the author.

*** Editor-initiated.** The editor takes the initiative in establishing contact with the author. The editor may read a journal article, like the topic and write the scholar inquiring whether a book manuscript is planned. Or the editor may solicit a manuscript at a scholarly convention or while visiting campuses on manuscript-search trips. Whatever the method of contact, the manuscript came to the press through the initiative of an editor.

*** Prior association.** The author and the editor already have established an association. The author may have previously been published by the press. Or the author may have served as an outside referee. Or they may have become friends on an earlier occasion. Whatever their prior association, neither had to make a blind inquiry of the other. They already knew each other.

Yet determining the initiator in a publishing decision can be complex because the three categories are not always mutually

exclusive. For example, imagine this not-unusual scenario at an academic convention. A scholar who has published with a particular press introduces a colleague to an editor of the press. The three go for a cup of coffee. The editor mentions the press' desire to build its list in a certain field. The colleague replies that he happens to be working on a manuscript in that very field. The editor asks to see the manuscript. Eventually, the manuscript is published by the press.

Who was the initiator? The editor had attended the scholarly convention with hopes of attracting outstanding manuscripts and, in fact, specifically invited the author to send his manuscript to the press. Yet the author had come to the convention with hopes of finding a press interested in his manuscript and, in fact, had succeeded in doing so by mentioning his manuscript at the appropriate time. Then, again, the editor and author might never have sat drinking coffee together had an intermediary not existed. This middleman, with a prior association with the press, played a key role in this particular manuscript eventually being published by this particular press.

In scholarly publishing, referrants often are vital for both editors and junior scholars. Referrants act as brokers and as confidantes. Authors may contact a press on the recommendation of someone already associated with the press. Editors, in turn, may contact an author on the recommendation of a referrant. Nevertheless, either the editor or the author still must initiate contact with the other.

Table 3.1 shows that the responding presses collectively estimated that one of every three new titles published in 1985 was author-initiated. Whether by unsolicited manuscript or by query, the author established that first contact with the press which eventually led to publication. Another one of every three new titles was editor-initiated. One of every four titles was based on a prior association between the press and the author. In the "other" category, university presses listed such acquisitions mechanisms as literary agents, lecture series, yearbooks, co-publishing and foreign projects, and poetry and short fiction contests where judges make the selections.

TABLE 3.1

Estimate of How Manuscripts Published in 1985 Were Acquired

Method of Acquisition	No. of Published Manuscripts
Unsolicited manuscript came over the transom	183 (8%)
Author initiated contact with press via query	608 (26%)
Press initiated contact with the author	845 (37%)
Press and author had a prior association	568 (25%)
Other	104 (4%)
	2,308

NOTE: The 52 responding university presses reported publishing 2,346 new titles in 1985. Two presses did not specify how these publishable manuscripts came to their press, hence the 2,308 total.

Unsolicited Manuscripts Not Wanted

Senders of unsolicited manuscripts should not be too encouraged by the fact that some over-the-transom submissions eventually are published. Table 3.2 shows that the responding presses collectively estimated that more than nine out of 10 unsolicited manuscripts were returned to the authors without ever entering the publishing stream. An estimated 9 percent of unsolicited submissions were accepted to the extent that an outside referee was asked to judge the manuscript's merits. Once an unsolicited manuscript entered the publishing stream, odds for eventual publication improved to about 21 percent. Overall, responding presses collectively estimated that about 2 percent of the unsolicited manuscripts they received eventually were published.

TABLE 3.2

Estimate of Success Rate for Unsolicited Manuscripts in 1985

Manuscript Status	No. of Manuscripts	Success Rates	
Unsolicited manuscripts received	9,610	$\begin{matrix} > \\ > \\ > \end{matrix}$	$\begin{matrix} 9\% \\ 21\% \\ 2\% \end{matrix}$
Number sent for outside review	860		
Unsolicited manuscripts published	183		

NOTE: Two university presses did not give estimates of unsolicited manuscripts received. Concerning the number sent for outside review, one said "very few" and the other "less than 10." These two responses were omitted from the table. Several other presses gave ranges, and the midpoints of those ranges were used.

Eight of the 52 responding presses said they did not send out a single unsolicited manuscript for review during the year. Twenty-one presses -- 40 percent of the responses -- said they did not publish an unsolicited manuscript during the survey year.

One of the striking differences in scholarly publishing is the contrast between the selection processes in the world of academic journals and the world of scholarly books. Manuscripts generally come to journal editors unsolicited. This is not the norm in book publishing. Finding a publisher is more akin to finding an employer. Morris Philipson, director of the University of Chicago Press, made the following analogy (July 1977, p. 292):

No publisher can bring out every single manuscript that is submitted to him, any more than a publisher can hire every person who applies for a job. You might want to work at the Oxford University Press, but it makes more sense to send a letter of inquiry describing your qualifications and asking whether there is a position available, rather than to get on a plane and fly to England to present yourself physically and ask to be hired. It is a kindness to both parties.

Many uninvited manuscripts, though, continue to be presented physically to university presses. By doing so, authors promptly identify themselves as publishing novices. If an author sends an unsolicited manuscript to a press, the manuscript at least will be accorded more respect if the cover letter suggests some type of tie-in ("One of your authors, Professor So-and-So, suggested I send you this" or "I noticed you recently published Such-and-Such Book, and I believe this would complement your list in that area"). The cover letter also

must make a strong case for the importance and distinctiveness of the manuscript. If an editor has to turn to the manuscript itself to find out what it is about, the cover letter needs to be rewritten.

If an author gives no compelling reason to consider the unsolicited manuscript, acquisitions editors say they can dismiss an over-the-transom submission in 20 seconds or less. What an author may have spent years in writing may be rejected via form letter in the time it takes an editor to read perhaps only a few sentences. Because of the expense of handling unwanted and uninvited manuscripts, commercial publishers usually discard them unceremoniously. But university presses, as the more genteel of the publishing brethren, typically return unsolicited manuscripts at their own expense.

New presses most often bear the brunt of the manuscript onslaught. The appearance of a new press means the dusting off of hundreds of unpublished manuscripts. "A new press is announced and the manuscripts flow in," said one university press director, speaking from experience. "A disproportionate number of them are bad because they've already been tried everywhere else."

All editors have their favorite unsolicited-manuscript recollections. One editor recalls receiving an 86-page master's thesis on John F. Kennedy. Another remembers a manuscript billed by its author as a comprehensive study of child sexual abuse -- in about as many pages. Another editor said: "I have a corner in my office designated for unsolicited manuscripts that begin with 'Dear Editor.'" The editor glances at them on slow days.

Yet editors beleaguered with stacks of mail must sift through the mass, cognizant that there may be a gem this particular day. The University of Washington Press once received a package from an author without academic credentials whose stationery was plain and whose address was a rural mail route. Inside was something called "Pictorial Anatomy of the Fetal Pig." The editors were spellbound. The drawings were meticulous in their accuracy and clarity. The text was skillfully integrated. The pig book was published, and it proved so popular that the author was asked to do the same for the frog, the cat, the dogfish, the necturus (mud puppy) and others worthy of close anatomical scrutiny. The press later added an atlas that enabled readers to compare the anatomical structure of the baboon, chimpanzee and man (Cunningham, April 1973, p. 226).

In another example of the full manuscript selling itself, the University of Nebraska Press once received an unsolicited manuscript in a field foreign to the press -- European World War II history. It was a first-person account, translated into English. It did not fit Nebraska's list at all. "Had he sent us a letter of query, we would have said, 'No thanks,'" said David Gilbert, then-director at Nebraska and now director at Cornell. "But an editor got it and said, 'Gee, this is fascinating.' That's a case where our editor read it and couldn't put it down."

But it is pointless for authors to proceed that way, unless a query cannot adequately convey the purpose or style of the manuscript.

Queries: The Writer's Overture

Unsolicited manuscripts may be uninvited guests, but query letters from authors are an accepted part of scholarly publishing. Publishers are in business to publish, and a writer cannot insult a publishing house by offering it a manuscript appropriate to its list.

But a query letter does tell an editor something about the writer's status. A query suggests that the author probably has not published a book before and therefore hasn't become a member of any scholarly publishing network. Senior scholars seldom have to send a query. Editors pursue them, not vice versa. Still, a query carries no stigma. Editors read them with interest and will ask to see sample chapters or even a completed manuscript if the topic and approach interest them. A prospective author, then, shouldn't hesitate to approach a publisher directly.

Editors are accustomed to having query letters in each day's mail -- the number depending on the size of the press. A few editors said they enjoy the time set aside each day to peruse the queries and answer them. Others view it as a tedious but necessary chore. "I don't anticipate any great discoveries, but there is an occasional gem," one university press director said. For instance, the University Press of Mississippi acquired The Lost Colony of the Confederacy, now in its second printing, via a query letter. The author, Eugene Harter, sent queries to several presses to determine interest in his work on the return to the United States of ancestors of Southerners who had emigrated to Brazil after the Civil War. Several presses responded

favorably. Harter gave the Mississippi Press first right of refusal because its response was the most enthusiastic.

Yet for every manuscript eventually published following an author's query, another 50 are not published. Table 3.3 shows that responding university presses collectively estimated that roughly one of every 10 queries results in an editor's request to see the complete manuscript. Of those reaching this intermediate stage, an estimated 18 percent actually proceed through editor review, outside peer evaluation and editorial committee approval. Overall, then, responding presses collectively estimated that about 2 percent of author queries eventually result in a published book -- identical to the percentage of unsolicited manuscripts eventually published.

TABLE 3.3

Estimate of Success Rate for Author Queries Received in 1985

Manuscript Status	No. of Manuscripts	Success Rates	
Author queries received	32,450		
Manuscripts requested on basis of author queries	3,360	> 10%	
Manuscripts published originating from queries	608	> 18%	> 2%

NOTE: Three responding presses did not give estimates of author queries received, so their responses on manuscripts requested and eventually published on the basis of author queries were omitted.

Many university presses emphasized that no records were kept of such figures because the number of queries flowing into the press was not of operational significance to them. But a few presses were able to give specific figures. For instance, the University of Hawaii Press kept records on incoming mail in 1985 and reported that it received 520 query letters and, in turn, invited 60 of the authors to send completed manuscripts for consideration. Others made estimates based on daily intake. The University of Michigan Press said it received an average of 10 query letters per weekday. From the roughly 2,500 queries a year, the Michigan press invited 75 authors to submit completed manuscripts. As a newer scholarly publisher, the University of Arkansas Press was inundated with author submissions. Director Miller Williams said the press received 1,000 unsolicited manuscripts and another 3,000 queries in 1985. That year, the Arkansas press published 10 new titles. "Look what your chances are," Williams said, turning to a biblical analogy: "It's true: Many are called but few are chosen. Many knock on the door but few are let in."

One reason for so many query rejections is that a large number of queries are aimed at inappropriate outlets. Authors need to recognize that not all presses publish in all fields. Mismatches can be prevented by authors doing their homework beforehand. They should look at the books on their office shelves to see who published them. They should note which publishers are listed most often in their own manuscript's bibliography. Beyond that, the uninitiated should look through Literary Market Place or the annual directory of the

Association of American University Presses. These publications list the number of titles published per year and each press' publishing areas. If a press seems appropriate, the author should call the press and ask for the name of the editor in a particular discipline in order to send a query letter to the right individual. It's even acceptable to call the editor and ask if the press might be interested in the topic. "We all field calls like that and are happy to help," one editor said. "Of course, some days we're happier than others." Editors acknowledge that a phone call can be an effective first step, but said they prefer to deal on paper. It is easier for them to say 'no' to a piece of paper than to a human voice.

The query letter, then, must be well-crafted. Editors said it should state why the book is important, should name other books on the subject, should explain how this one is different, should justify why the writer is the one to write this book, and then should link the work to the press' publishing list. All of this should be packaged into one page, two at the most. Editors advised prospective authors against writing long, chatty or whimsical letters. Query letters should be matter-of-fact and straightforward. Yet they must have some life. If an editor yawns while reading a two-page query letter, that doesn't speak well for a 300-page manuscript that could follow. Editors said they look first at query letters that begin interestingly or that make a reference to a recognizable name as in "Professor X suggested I write you."

Scholarly publishing exists in a reciprocal relationship with

academe. But there are unaffiliated scholars who may not have a network of contacts and may not even have a job. They are at a disadvantage. Even the absence of a take-for-granted item such as institutional letterhead can influence an editor's first impression of a query letter. Institutional letterheads signify at a glance that the writer is at least an active member of the academy that university presses seek to serve. Some authors become paranoid about that fact. Suzanne Comer, the humanities editor for the University of Texas Press, remembers getting a query letter from an unaffiliated scholar who devoted the first two pages to an impassioned plea not to turn his proposal down simply because he was an unaffiliated scholar. She didn't. "We turned it down because it didn't fit our list," Comer said.

"Most of what we do falls under the rubric of scholarship," added Barbara Hanrahan of the University of Wisconsin Press. "The unaffiliated scholars are in a difficult situation. University presses themselves rely on standard academics. It becomes even more problematic when presented to an editorial board charged with protecting the imprint."

But unaffiliated scholars do have success stories, as shown by the Chicago Press' acquisition of the Oral History and Delinquency book written by the unemployed Ph.D. on welfare. "These souls are often creative people who can't get a job," said acquisitions editor Doug Mitchell. "His being on welfare didn't bother me or the board. Maybe it was reverse snobbishness."

No matter what the status of the writer, some editors want to receive more than a query letter in that initial contact. Some want a vita. Others prefer to see a table of contents. Still others would like to receive a short abstract. "No processes are cut-and-dry," one press director said. "You might even send a sample chapter with the query." Several editors, in fact, said they prefer to receive a sample chapter or two with the query.

Editors may have differing beliefs about what belongs in that first mailing, but they agree on two points. First, a vita -- if sent -- should be a short biographical sketch. "Leave off the names of every committee you've served on and the names and numbers of every course you've taught," one editor commented. Second, authors should enclose a SASE -- a self-addressed, stamped envelope. Almost all university presses go ahead and respond to queries sent without a SASE. But not all. The director of one scholarly press said: "All university presses are poor, and we probably get 10 query letters a day without a SASE. That's \$2.20 in postage alone each day, besides the time and paper. In 100 days, that \$220. That's about \$750 a year. We can't afford it. An author may say, 'Wow, how chintzy!' But we just throw it in a wastebasket if it doesn't interest us."

Some university presses have a standard form they send as a followup to queries. It's a way to collect a lot of disparate information at one time. These "Author and Manuscript Inquiry" forms typically ask for such information as a list of competing books in the field, the target audience of the manuscript, the length of the

manuscript and the background of the author. The form also may ask whether the manuscript is a revised version of a dissertation, whether it is presently being considered for publication by another house, whether any scholars in the field already have read the manuscript, and whether a word processor was used in the preparation of the manuscript.

A decision on whether to invite the author to send part or all of a manuscript for consideration typically is made by one person -- the acquisitions editor responsible for the subject area. Table 3.4 shows that half of the responding university presses said that one editor makes the decision on the typical query. Given the opportunity for an open-ended answer, more than 20 percent answered "one or two" editors. The remainder said two or more. Several respondents wrote that one editor typically makes the decision, and a second one is consulted if there is uncertainty.

TABLE 3.4

Number of Editors Involved in Decision-Making on a Query

Number of Editors	No. of Presses (N=51)
One editor	26 (51%)
One or two editors	11 (22%)
Two editors	12 (23%)
Three or more editors	2 (4%)

David McGonagle, director of the Catholic University of America Press, said he often asks faculty members at his own university to look at an abstract to determine whether the complete manuscript is worth pursuing. Richard Rowson, director of the Duke University Press, said he has taken queries to editorial committee members in that discipline for advice. Authors, then, should not wait until they have written a complete manuscript before beginning the process of finding a publisher. The acquisitions process can begin upon the germ of an idea and an outline of the concept.

Table 3.5 shows that university presses respond relatively quickly to queries. Almost half reported in open-ended answers that they respond to a typical query in one week or less. Three out of four said they respond within two weeks.

TABLE 3.5

Length of Time It Takes to Respond to a Query

Response Time	No. of Presses (N=51)
One week or less	24 (47%)
One to two weeks	4 (8%)
Two weeks	11 (21%)
Three weeks	3 (6%)
Four or more weeks	5 (10%)
Highly variable (1-6 weeks)	4 (8%)

Several responding presses said they try to respond to queries on a day-by-day basis. One press said the queries that are photocopied letters are not answered at all. Another said those proposals that are clearly outside the press' list are answered in one day, usually with a form letter, while those of interest require more deliberation.

A query has only one purpose -- to get a manuscript into the publishing stream. Before a manuscript can advance to peer review, it first must interest an editor. Before a manuscript can interest an editor, it must get into the editor's hands. A query is successful, then, if it eventually gets a complete manuscript into the editor's hands. Some authors take a shortcut by sending the complete manuscript unsolicited. But that approach appears only to add to the author's expense without adding to the author's chances of success. A query represents the preferred method of author-initiated contact.

The Editor as the Initiator

Although many scholarly books originate from author queries, university presses don't rely on the mail to bring them a full complement of suitable manuscripts. They don't wait on an author to take the initiative. University presses aggressively seek manuscripts that fit their list-building areas.

"We hustle," said Greg McNamee, editor-in-chief at the University of Arizona Press. "The staffs of university presses are getting younger and younger. They don't like to sit still." Richard Rowson, director of the Duke University Press, added: "We go to a lot of

meetings. We are a genuine seeker of manuscripts. We are an aggressive seeker of the very best we can find." Networking is essential. James Langford, director of the University of Notre Dame Press, said: "Many of our best authors like what we do and act as 'scouts' for us among their peers."

With more than one of every three university press titles now being editor-initiated, as shown in Table 3.1 on page 70, scholarly publishers have become active seekers rather than passive receivers of manuscripts. Table 3.6 shows that responding presses collectively estimated that authors whose manuscripts were actively solicited had a 22 percent chance of the manuscript being accepted by the editor, endorsed by outside readers and then approved for publication by the editorial committee. This compares to the 2 percent rate for unsolicited manuscripts and the 18 percent publication rate for manuscripts requested by an editor following the author's query. The greater the role of the editor at the beginning, then, the greater appear the chances of publication.

TABLE 3.6

Estimate of Success Rate for Active Acquisitions in 1985

Manuscript Status	No. of Manuscripts	Success Rate
Manuscripts actively acquired by editors	3,880	> 22%
Acquired manuscripts eventually published	845	

Acquisitions editors often are on the go. They travel to university campuses to visit scholars in their offices. They attend academic conventions to pursue the authors of papers selected for delivery. They seek to develop a network of senior scholars to help the press attract quality manuscripts.

At home, their days are spent in administrative detail -- writing letters, fielding phone calls, securing outside readers, handling inquisitive authors, and preparing paperwork for editorial committees. They court the eminent scholars of the parent institution and cultivate the rising stars. They write to professors who received prestigious research grants. They read specialty journals in search of topics worthy of book-length treatment.

Charles Grench, acquisitions editor for the Yale University Press, sees about 100 manuscripts a year. He takes home a couple of manuscripts each week to scan or to read. He also puts the journals that come into the office each week into his backpack and carries them home. In all, he reads about 30 journals or publications a month, ranging from the "New Republic" to "The New Yorker" and from the "Asia Studies Journal" to the "Wilson Quarterly."

If Grench sees a well-conceived and well-written article that lends itself to larger treatment, he contacts the author. Sometimes the tactic leads to a publishable manuscript; at other times, he is too late. While reading the Journal of American History, Grench was intrigued by an article on bare-knuckle prize-fighting. Grench contacted the author, but discovered the book already was committed to

another university press. "If you don't catch people early on, you may never publish their work," Grench said. "In a sense, we see ourselves as talent scouts. We have an obligation to get the best work."

The Mercer University Press added eminent religion scholar William McLoughlin to its list of authors by actively pursuing him. An editor wrote McLoughlin at Brown University after reading an article of his in the Journal of Church History. The editor asked if the topic was going to be a book. McLoughlin responded by letter that the book Mercer wanted already was at the Yale University Press, but that he had a series of essays not yet committed for publication. They exchanged a few more letters and a phone call or two and eventually reached agreement to publish the essays as a book titled The Cherokee Ghost Dance. McLoughlin's name adds prestige to this newer press' religion list.

Without editors actively acquiring manuscripts of high quality, editors say a university press would be unable to build an excellent list. "Toward this end it is absolutely necessary to hire highly intelligent, and thoroughly motivated, acquiring editors who travel to the universities and get to know scholars first-hand and who invite contributions to scholarship," said Chris Kentera, director of the Penn State University Press. "If a press does not have an active acquisitions program via qualified editors, there is not much chance it will publish much worthwhile material. They frequently become little more than vanity presses for their own faculty."

Publishing the Home Faculty

The university press once existed almost exclusively as a service agency, publishing the work of the home faculty and little else. This role has undergone a dramatic transformation in the latter half of the 20th century. All university presses, of course, still publish their own faculty's works, but that role no longer predominates.

In a 1948 study, Yale University Press director Chester Kerr found that 60 percent of the manuscripts published by the 35 university presses then in existence were written by scholars at the presses' parent institutions. In a 1968 followup, Kerr found (Oct. 1969, p. 18) that the percentage had dropped to 40 percent.

Table 3.7 shows that percentage has dropped even more in the past two decades. Only six of the 51 responding presses said the works of scholars at the parent institution constituted 40 percent or more of their front lists. More than half of the presses said home authors wrote fewer than 20 percent of their new titles. By converting the individual percentage estimates into actual numbers of titles and then compiling an overall average, the responding presses collectively estimated that about 20 percent of their 1985 front lists were written by home faculty.

What this means is that roughly four of every five new titles published by university presses came from persons not affiliated with the parent academic institution. The acquisitions process is not a closed system.

TABLE 3.7

Estimate of Percentage of Books Written by Home Faculty in 1985

Percentage Ranges	No. of Presses (N=51)
Fewer than 10 percent	9
10 to 19 percent	20
20 to 29 percent	10
30 to 39 percent	6
40 to 49 percent	2
50 percent or above	4

NOTE: These ranges were not specified in the questionnaire. The open-ended responses have been grouped for ease of comparison.

August Fruge, director emeritus of the University of California Press, believes scholarship would suffer if the university press were viewed as a service agency or auxiliary enterprise akin to the book store or to student housing. He has written of the irony that a press must succeed elsewhere in order to succeed at home (Oct. 1976, p. 4):

No university is great enough and large enough to support a distinguished press -- as opposed to a service agency -- with home products only. There are not enough good things at home even if one could get all of them, and one never can. And in every university there are always too many middle level things, adequate but not excellent. These are suitable to a service agency, but if a press fills its list with them, the best scholars at home will soon go elsewhere to prove themselves where the standards are higher. Or they will say, and sometimes within earshot, if you publish the stuff Professor X turns out, you won't publish me.

Yet a university press is the Press of the University. The quest to be a publisher of distinction can be carried to the extreme, if it alienates the parent institution. Fruge said a proper balance between service agency and publisher of distinction is required. Turning to a personal example from the 1970s, he wrote (Oct. 1976, p. 7):

If the press is part of the university, it had better not be too rigid about what one of our editors calls the Berkeley Problem, referring to medium quality manuscripts from one of our campuses. In partial contradiction to some remarks above, I think we have to accept the need for a double standard -- while never allowing it to get too double. For even with the finest of reputations, a press had better not stray too far from the parent university.

A university press list, ideally, should complement some of the academic strengths of the parent institution. So it would be expected that some home faculty manuscripts would be published. Also, by building a distinguished list in a field, such as military history or linguistics or Renaissance religion, a press can become a kind of intellectual presence roughly comparable to the presence of a good academic department.

Special considerations do exist for home authors at many presses. For instance, no University of Chicago Press editor can reject outright the work of a member of the University of Chicago faculty. Rejection can only follow a negative report from an outside reader. Press editors have the freedom to reject other manuscripts on their own authority. Currently, about 15 percent of the press' authors are University of Chicago faculty or staff.

Several university press directors pointed out that, with the creation of state campus systems, their authors now come from a multitude of campuses rather than just the main campus at which the press is located. The University Press of Kansas is located on the University of Kansas campus but also serves Kansas State University, Wichita State University and three others in the state regents system. "All things being equal, a manuscript is more likely to be published if it's from our own faculty," said Fred Woodward, director of the Kansas press. About 40 percent of its front list comes from faculty at the six regents universities.

In addition, consortiums have arisen -- the most ambitious being the University Press of New England, which serves nine institutions. The press, established in 1970, is located on the Dartmouth campus. It publishes about 30 new titles a year. An acquisitions editor regularly scours the consortium campuses for worthy manuscripts, and the press publishes about two-thirds of its titles from the nine faculties. "We have both the 'haves' and the 'have nots,'" said the director of the New England Press, Thomas McFarland. "We have Brown and we have Rhode Island. A Rhode Island likes to be in the company of the Browns and Dartmouths. We have huge potential for problems, but it's a congenial group."

University press editors know the importance of maintaining a close relationship with scholars at the parent institution. But they also recognize the need to create an awareness of the press -- and to acquire outstanding manuscripts -- at other campuses. One way of doing

this is to go to other campuses and knock on professors' doors. Professors like having their work and their opinions sought, especially when the visiting editor has a pure acquisitions mission and not a sales mission as well.

When in Atlanta for business, Director Malcolm MacDonald of the University of Alabama Press set aside a couple of hours to go to Emory University, where he visited with professors in history, political science, anthropology and English. Later, a professor -- himself twice published by the University of Georgia Press and once by the Harvard University Press -- notified MacDonald when Emory University purchased a collection of H.L. Mencken letters and a colleague began editing them. The Alabama Press published the letters in 1986. Another time, the English department chairman called MacDonald about a student's dissertation on the poetry of Emily Dickinson. The press eventually published that one, too.

"It's networking," MacDonald said. "Most senior people already have their publishing connections. They know that, and I know that. Sometimes contacts you initiate that way don't result in a manuscript for seven or eight years. It's a continuous process. You want to plug into as many networks as possible. I call on senior faculty and ask who their best young people are."

Many editors complained of the time-consuming nature of campus visits and of the tendency for professors not to be in their offices. As a result, many editors don't make campus visits but, as one editor from a prestigious press said, "I don't knock it. It's good PR."

In 1977, editors from the Temple University Press decided to take the money allocated for sales visits to bookstores and spend it on acquisitions visits to campuses nationwide. It was somewhat of a novelty at the time, and it paid dividends. "The appearance of a Temple editor at the University of California, Berkeley, is a sure way to attract attention," wrote Kenneth Arnold (Oct. 1978, pp. 60-61), then director of the Temple Press in Philadelphia and now director of the Rutgers University Press. "The novelty is a sufficient draw, and getting attention is half the battle. The scholar is likely to think, 'If these guys have come all this way to see me, they must be good.'" That first California trip resulted in Temple publishing two books it otherwise would not have obtained.

Other presses have immediate name recognition, yet still make campus visits. An acquisitions editor at an Ivy League press said the faculty at Harvard, Yale and Princeton prefer being visited by New York trade publishers, while he prefers making campus visits in California where the Ivy League presence is less expected. "Being from a big-name press, there's never a door closed to me -- because of the name," he said. "No one ever says, 'I don't have the time,' and my colleagues at less-prestigious university presses say that happens to them."

An editor for a Western university press added: "You could go to a campus and easily collect 25 manuscripts from junior scholars, and some of them would be good. But that's not what the big presses want. They want the senior scholars."

Personal Contact at Conventions

Chain-smoking and animated, executive editor Beverly Jarrett of the Louisiana State University Press stood at the exhibit booth, chatting with one of her authors. The scholar had stopped by to tell Jarrett that he wanted her to meet someone. The scholar provided a thumbnail sketch of the person and the person's work. Jarrett made some comments in her notepad and, after the scholar left, remarked: "His recommendation means a lot to me." Later in the convention, Jarrett had a 30-minute visit with the person. "You talk about more than the manuscript. You get to know each other as humans," Jarrett said. "And I did ask to see his manuscript immediately."

Down the aisle, then editor-in-chief Don Haymes prowled in front of his Mercer University Press booth, eager to talk with scholars as they walked by. The Mercer Press had reserved exhibit space early in the year, thereby landing a choice location next to the main hallway. The table and nearby shelves were packed with Mercer titles. If one of them sold, fine. But the books were there mostly for show. The Mercer Press was displaying its books in hopes that others would want their manuscripts to join such a list. A professor specializing in pre-Civil War American history stopped by the booth. Haymes asked if he was working on anything Mercer might be interested in publishing. "Only long-term. Nothing I'm ready to talk about yet," the professor replied, with his head cocked to one side as he scanned the titles and authors on the Mercer shelves. This was a fact-gathering mission for

the professor, and he picked up a free copy of Mercer's catalog of titles.

At breakfast one morning, Charles Grench of the Yale University Press visited with a junior scholar wanting to find a publisher for his revised dissertation. The author had initiated contact by sending Grench a query letter. Grench liked the topic and wrote back, asking to see some sample chapters. "You can tell from that whether a person can write like a darn," Grench said. This person could write, so Grench arranged a breakfast get-together at the academic convention they both would be attending.

Jarrett of LSU, Haymes of Mercer and Grench of Yale attended the 1986 convention of the Organization of American Historians, along with editors from 28 other university presses and just as many commercial presses. It was a happy hunting ground for scholarship. Thousands of historians poured into New York City's Penta Hotel for a four-day convention featuring the readings of more than 200 papers on diverse topics ranging from "Fraternal Orders in Victorian America" to "Black Anti-Semitism" to "The Military Legacy of the Vietnam War."

The editors, though, weren't at the convention to hear papers delivered. They had come to see and be seen. This was a place to develop and maintain networks of informants. This was a place where, at last, an editor could connect a face with that name on the query letter. This was a place to renew acquaintances and to begin new ones. This was a place to associate in a personal way with the lifeblood of scholarly communication -- the writers themselves.

It is to an author's advantage to get on the convention program. Like most acquisitions editors, Cynthia Maude-Gembler of the University of Tennessee Press prepared for the convention by skimming the 205-page program for topics suitable for the press' list. Weeks before the convention, she wrote 150 to 200 letters to program participants and others, expressing interest in their topics and inviting them to come by the Tennessee Press' exhibit booth for a visit. At some point during the four-day convention, many of them did.

By being on the program, then, an author may enjoy having an editor make that initial contact. The author becomes the pursued rather than the pursuer. Tennessee's practice of writing to program participants is a typical one, except for the quantity. Other editors mentioned sending 20 to 50 letters per convention. "That's how we do it to get traffic," Maude-Gembler said. "A press our size has to do it; a Harvard doesn't."

Editors want a lot of traffic at their exhibit booths. They want senior scholars to recommend the work of their best students or friends. "We've gotten a lot of recommendations this way," said an editor at a smaller Southern press. "You pick their brains for ideas. A Vann Woodward or a Peter Gay -- they wouldn't dream of publishing with us. But they've been lovely." Without being present at scholarly conventions, a press might miss these types of referrals.

Editors want their under-contract writers to drop by and give progress reports on their manuscript revisions. In 1981, senior historian John Hope Franklin put an editor in touch with a young

scholar completing his dissertation. Outside readers called the manuscript worthwhile but asked for revisions. For the next few years, the editor received progress reports from the young scholar twice a year at history conventions they both attended.

Editors want their authors, past and present, to drop by just to keep in contact. It's not unusual to see the hotel coffee shop dotted during the day with twosomes -- one an editor, the other a scholar. But editors consider the exhibit booth to be home base. Charles Grench of the Yale Press camps at his booth. "I see a lot of people that way. They're looking for me at the booth," he said. Many are scholars who have published with the Yale Press; Grench said they just want to say 'hi' and stay in touch.

Editors want prospective authors to drop by as well. Although no quantitative evidence exists, editors believe that prospective authors have a better chance of being published when the initial contact is a face-to-face encounter rather than a faceless query. "There's a distinct advantage to a one-on-one conference," one editor said. "If I've seen and talked with you about your manuscript, that can create a tighter joining of our relationship. It's much better than a query letter. We can sit and talk about your work at length."

Editors have quietly discouraged scholars from bringing complete manuscripts with them to conventions. Now, prospective authors bring two- to five-page proposals to give to editors. Most proposals at conventions are from unpublished authors, often those wanting to revise their dissertations into books.

"People who have published before have learned how to pinpoint the most appropriate publisher for their work," said Barbara Hanrahan, an acquisitions editor at the University of Wisconsin Press. "The less-experienced authors are the ones who come to booths and inquire. Usually the person who comes up and says 'Are you the acquisitions editor?' has a manuscript they want to offer. Not a high percentage will interest us."

But some do. A visitor at Hanrahan's convention booth one year was a young English teacher at Swarthmore. Hanrahan invited the manuscript in, it received positive readers' reports and was published to good reviews. "Wonderful books come from many sources -- friends of friends, query letters, at conventions," Hanrahan said. "People who say they don't get editors all that interested at conventions and people who say that routine letters of query don't pan out, that's true. But there are exceptions. The most satisfying is taking an author who has a first book and watching the book and the author's career take off. That's very satisfying."

An Ivy League editor collected several proposals at the historian's convention. "I'm too polite to say 'I won't even look at your three-page proposal,' so I accept them," he said. One was on gender roles in the New England area. The editor was interested. Another concerned relief efforts and the New Deal. He wasn't interested. He had talked with the author and was not impressed.

In a single day at a convention, an editor may visit individually with dozens of people. Conversations can begin to run together in the

mind. LSU's Beverly Jarrett scribbled notes to herself following each conversation. Since she visited so many people in such a short time, she didn't want to forget any promises she had made or forget any names that had been dropped. Each evening during the convention, Jarrett pulled out her notepad and wrote 30 or so letters to persons she had talked with that day or to persons referred to her. "After I've spent eight hours smiling and seeing people, I like to isolate myself, make a pot of coffee and write letters," she said. "Then it's done -- while it's fresh on my mind."

Editors normally tied to the office because of the glut of correspondence enjoy going to conventions. Budget permitting, university presses send representatives and a horde of books to the conventions that dovetail with their list-building efforts.

The sale of a book occasionally takes place at professional meetings. But the sales income realized at a convention rarely pays the cost of exhibiting. "It's not sales but manuscripts we're after," said Malcolm MacDonald, director of the University of Alabama Press. "It's to show the flag, to have a presence. You can't quantify that. It's not like you get a shipment of lawnmowers, you put an ad out and the next day you sell 10 lawnmowers. It's not that easy. It's impossible to quantify the results of any academic meeting. It's a crazy business. I'm here primarily because the other presses are here."

Convention-going has become an increasingly important acquisitions mechanism. For instance, the Alabama Press staff went to

16 scholarly conventions in 1986 -- double the number from the preceding year. "It's all part of an effort for increased visibility," MacDonald said. Since anthropology and archeology are list-building areas for the press, the editors have added several meetings a year in those fields to their agenda.

Among editors, the Modern Language Association convention ranks as an essential one to attend. The MLA annually attracts about 10,000 people. In the field of history, there are two -- the OAH and the American History Association conventions. Other prominent conventions are sponsored by such diverse groups as the American Philosophical Association, the National Women's Studies Association, the American Political Science Association, and the Association for Asian Studies. University press editors also attend regional meetings and narrow-specialty conventions.

Editors never quite know the repercussions of attending -- or skipping -- a convention. Sometimes, an editor's presence at a convention can have an unexpected ripple effect in other areas. For instance, the University Press of Kansas acquired The Radical Politics of Thomas Jefferson because the director went to a Shakespearean meeting in Minneapolis. A Jefferson manuscript at a Shakespearean meeting? "It was really an odd situation," press director Fred Woodward said. "I shared a cab with a Shakespearean scholar from Lafayette College. He wasn't working on anything I was interested in. But when he got back, he told a colleague in political science who was working on the Jefferson manuscript. That's how we acquired it." The

book fit perfectly the press' list in presidential studies.

The acquisitions process involves a number of serendipitous encounters. But writers always are looking for guidance as to how to get their manuscripts published, as if it were a science. Convention planners have learned in recent years that some of the most popular sessions deal not with aspects of specialty scholarship, but with insights into scholarly publishing. The interest in these sessions comes primarily from junior scholars and Ph.D. students seeking to learn the signposts in publishing. In fact, many go to conventions as much for the opportunity to visit with editors as to hear their colleagues present papers.

The historian's convention in New York City featured two sessions on scholarly publishing. Both sessions packed their meeting rooms -- the first one so full that people were turned away at the door. Those in attendance included:

- * A Ph.D. candidate in history at a Boston university who had written a dissertation on French-Indian relations. He hadn't talked with any editors at the booths yet; he first wanted to get a feel for the publishing process.

- * A history professor at a Tennessee university who had approached five scholarly presses in New York state about his manuscript dealing with an aspect of New York history. None were interested. He wanted to know where he was going wrong.

- * A teacher at an Oklahoma university who had an unrevised

dissertation concerning American newspapers during the Revolutionary War. She, too, had yet to talk with any editors.

* A non-affiliated scholar who had earned a Ph.D. in American studies. At a 1981 convention for historians, she had visited with several acquisitions editors, and one university press expressed interest in her historical biography. She sent it to the press half-finished, and it went to one outside reader for an evaluation. The report was negative. "It was a bone-headed report," she said without humor. She went ahead and finished the biography and now was ready to pursue publication. She had initiated conversations with acquisitions editors of several university presses by stopping at their exhibit booths. She said three presses had expressed varying degrees of interest, and she planned to send the manuscript to the one most interested.

While some junior scholars wish they could stir some interest in their work, others become the center of competition. At the New York City convention, at least three university presses actively courted a junior scholar who presented a paper titled "Civilizing Missions: Afro-Americans, Christianity and Colonialism." She was in the process of writing a book on the subject -- her first.

The acquisitions editors had sent letters of interest to her beforehand, and at least one of them had talked with a religion professor at Princeton University who was serving as a respondent to her paper. He called it excellent work.

Two of the wooing presses wanted the book because they have lists

both in religion and black studies; one book would attract two audiences. The third press was starting a new Afro-American series. The editors from all three presses visited with her at the convention. All knew of the interest she was receiving from the others. "She's in the driver's seat, even though this is her first book," one of the editors commented.

The editor said the junior scholar could choose to give one of the presses an exclusive option, or she could seek an advance contract, or she could submit the manuscript to all three presses on a simultaneous submission basis.

"Scholarly publishing has become a lot more competitive," this editor said. "You're slitting your own throat if you ignore that fact."

Competition in Scholarly Publishing

Books do not compete. The only real competition in scholarly publishing is the quest for manuscripts. As one editor put it: "The competition between university presses is for the superior manuscript. We can all get the average ones."

This competition is not an outward marketplace rivalry as much as it is "quiet diplomatic seeking" -- a term used by Edward King, director of the University of Missouri Press. Editors win some and lose some. But they say competition helps keep their standards high. Competition is viewed as an essential component within an aggressive publishing program.

Table 3.8 shows that two-thirds of the responding university presses believe competition for manuscripts is increasing among university presses, and the remaining third believe it is static. None believe that competition for manuscripts is decreasing. The director of a Big Ten press responded: "The larger presses feed on the author pool in the Big Ten where they can shove aside the smaller local university presses." A Southern press director responded: "Competition is keen, and increasing." The director of an Eastern press added: "Increasing -- but for fewer manuscripts." Even those presses indicating that competition was static suggested that competition already is considerable. The director of a Northeastern university press said: "Staying the same. There is always stiff competition for the best manuscripts."

TABLE 3.8

Assessing Competition for Manuscripts Among University Presses

Level of Competition	No. of Presses (N=49)
Competition for Manuscripts Increasing	33 (67%)
Competition for Manuscripts Remaining the Same	16 (33%)
Competition for Manuscripts Decreasing	0 (0%)

NOTE: Three of the 52 responding university presses did not respond to this question.

Example: Anthropologist Jon Christopher Crocker of the University of Virginia spent extensive time with the Bororo in South America and acquired a familiarity with them deep enough to get an inside view of their culture. Editor-in-chief Greg McNamee of the University of Arizona Press heard about it from another editor while attending an American Anthropological Association convention. Arizona has a broad list in anthropology. "The author already had submitted the manuscript to a couple of presses," McNamee said. "I won the manuscript through speed of reading. I told reviewers we were in competition for this manuscript -- please hurry along." Arizona published Crocker's Vital Souls: Bororo Cosmology, Natural Symbolism and Shamanism in 1985. "It's inevitable you'll be competing for the best authors in a discipline," McNamee said.

Not all presses compete in all areas, however. Competition, after all, is dependent on list-building. About half of the university presses have lists in anthropology; others likely wouldn't have been interested in the Bororo shamanism study had Crocker offered it to them. The Stanford University Press, which publishes in law, need not worry about competition from the Indiana University Press, which doesn't solicit manuscripts in law. But Indiana and Stanford both offer strong lists in women's studies, and they may vigorously compete for the same authors in that field. Tiers of competition exist, and editors know who their prime competitors are. An editor at the University of Chicago Press said his key competitors in sociology are the Oxford University Press and Basic Books, a commercial publisher.

Overall, editors consider the best university presses to be -- in alphabetical order -- California, Chicago and Harvard. These three were most frequently named by editors as outstanding in a broad range of disciplines. Princeton often is called a model university press because it hasn't become a heavy trade book publisher.

Most authors given the choice of publishing with the Harvard University Press or with "State U. Press" will gleefully go with Harvard. The name offers prestige. Smaller presses do not have Harvard's ability to do large-scale marketing. A Harvard or Yale imprint sells copies. But editors outside the Ivy League believe the gap is closing. The quality of Ivy League presses is not declining; the quality of university presses in other regions of the nation is improving. A Midwest director said: "There are good presses all across the nation. They are no longer concentrated in the Ivy League or the snob schools." For instance, the LSU, Nebraska and North Carolina presses have national reputations.

The reputation of a university press is closely aligned to the academic reputation of the parent institution. One press director at a football powerhouse school in the Southwest went a step further, commenting without amusement: "The image of our press seems to follow the fortunes of the football team."

The smaller presses have learned to recognize their standing within scholarly publishing. "When I first started, I thought that when a manuscript was rejected by one press, it wasn't any good. I've found out that's not true," said Seetha Srinivasan, executive editor

of the University Press of Mississippi. Her press published a book previously rejected by the LSU and South Carolina presses. The book became a History Book Club selection. "We're new. Authors sometimes will start at more established presses. But at first, I was very indignant having to consider a manuscript rejected elsewhere."

Another Southern press wooed an eminent historian who had twice published with Harvard. The historian had expected Harvard to pass on his third manuscript, but Harvard had the right of first refusal and instead claimed it. "I try longshots," the acquisitions editor for this less-prestigious press said. "Smaller presses must be seen as competitive with the larger presses. Word gets around."

Some established authors prefer smaller presses because they are more personal. The University Press of New England, located on the Dartmouth campus, published 35 titles in 1985 compared to Yale's 149 and Harvard's 107. "We're not hesitant to go after authors who would go to Harvard or Yale," said Thomas McFarland, director of the New England Press. "We're competitive with Harvard. We just got an author who had been offered a \$5,000 advance from Harvard. Authors like the intimacy of working with a publisher. If an author calls me with a question, I can answer it. They're not dealing with dozens of people. We work fast."

Some editors at smaller presses describe themselves as acquisitions activists but not as competitors since, as one put it, "there's not enough money involved for it to matter much."

Competitive acquisitions methods consist of multiple submissions,

advance contracts, monetary advances and similar inducements designed to attract an author to a press.

Scholarly publishers prefer to consider manuscripts within a context of exclusivity. They prefer being the only one evaluating a particular manuscript at a particular time. Yet Table 3.9 shows that few university presses absolutely refuse to consider a manuscript simultaneously submitted to other presses. More than one of every three responding presses are openly willing to consider a manuscript submitted elsewhere at the same time. The majority still prefer not to, but make exceptions now and then.

The appropriateness of exclusivity in manuscript review is a matter of perspective. Time is important to scholars, especially those facing tenure/promotion decisions. From the author's perspective, a single-submission policy could drag the publishing process out for years. An author can hardly be faulted for attempting all possibilities to ensure the rapid publication of a manuscript.

TABLE 3.9

Willingness to Consider Multiple-Submission Manuscripts

Multiple Submission Policy	No. of Presses (N=52)
Presses That Accept Multiple Submissions	19 (37%)
Presses That Refuse Multiple Submissions	6 (11%)
Presses That Typically Refuse But Make Exceptions . . .	27 (52%)

But time is important to editors, too. From their perspective, they don't want to waste time in evaluating a manuscript, finding outside reviewers, paying the reviewers to evaluate the work, and having an editorial committee consider the work -- only to learn that another press was in the shadows all along and will publish the manuscript.

The answer -- from the editors' point of view -- is for authors to spend more time studying the lists of presses and send query letters to those presses most appropriate. If more than one press expresses interest, select the most enthusiastic or most prestigious one and let it have the manuscript on an exclusive basis for a designated amount of time, such as six to nine weeks.

One acquisitions editor said she seldom considers multiple submissions simply because her time is at a premium, outside readers must be paid more in exchange for a quick review, and failure to win the simultaneously-submitted manuscript means no direct dividends for the time and money expended.

"There's a lot of wealth to be shared," another editor said. "To compete takes a lot of time with the whole review rigamarole. If six presses are going through this, five books are not going to be pursued and five books won't be published."

Editors, though, are growing more accustomed to multiple submissions. But they insist on one thing: being told.

"We accept multiple submissions, but we must be informed," said Jeannette Hopkins, director of the Wesleyan University Press. "It's discourteous not to tell a publisher. By the time it is ready for

board discussion, we require an author to tell us whether a Wesleyan contract offer will be accepted."

The LSU Press insists at the beginning on the right of first refusal. "We do not assume single submission unless our authors have said it," said executive editor Beverly Jarrett. "We ask for rights of first refusal, and we do not proceed with external review until they've been given. If we happen to learn that another press is also reviewing a project -- and we've not been told this and agreed to it up front -- we immediately withdraw from further consideration of the project. And we don't forget that author's name."

Of course, deception can occur. One Western editor recalled that his press once had accepted a revised dissertation for publication, given it an editing plan and had devoted some 20 hours in-house to it already, only to learn that the author had signed a contract with another press. "It was carefully disguised," the editor said. "We had asked him and he said no."

But if the author is candid and if more than one press has a sufficient interest in the topic and agrees to a multiple submission, then competition can become keen. Susan Rabiner, a New York editor with the Oxford University Press, said she divides manuscripts into four priority piles. Top priority goes to multiple submissions. Next are the obviously good manuscripts. Third priority are those manuscripts Rabiner asked the author to submit. The bottom-priority manuscripts are all others.

In a simultaneous-submission case, editors act quickly to find

readers, readers are asked to give expeditious reviews, and the author can expect a speedy decision, possibly along with other inducements such as design, production, print-run and marketing concessions. One editor, though, warned: "The fever of the auction room in this artificial atmosphere can lead to unrealistic expectations on the part of the sellers and excessive offers on the part of the buyers. The excitement and tension of the horse race can tempt competitors to cut corners or bend rules."

Another signpost of competitiveness is a press' willingness to offer advance contracts to traditional monographs. An advance contract is a commitment to publish before a manuscript has been completed. Almost all presses offer advance contracts, although a number of presses do so rarely. First-time authors seldom are offered advance contracts; this form of inducement tends to be reserved for established authors with proven publishing records. Sanford Thatcher, editor-in-chief of the Princeton University Press, wrote (Jan. 1980, p. 123):

My main objection to the proliferating use of advance contracts, from the publisher's side, is that they can too easily lead to the subtle erosion of scholarly procedures and standards at university presses. Procedures are undermined whenever in the haste to beat a competitor a press director decides, if he can, to do without external reviews or to bypass his editorial board or both, as some have the authority to do. These more neutral sources of advice and perspective can help check misguided enthusiasms: anyone who has worked with readers and an editorial board knows how many mistakes they have prevented him from making.

Advance contracts may provide an author security, but they are inherently unequal. An advance contract commits the author to publish with a particular press, but the press has an escape clause in the event a manuscript is not what was expected. Still, an advance contract makes sense in certain situations. They are valuable when close cooperation between press and author is needed for a major project, such as the start of a series or a reference work. They may be necessary in commissioning a book translation or in convincing a scientist to write a book. Monetary advances frequently accompany advance contracts. These advances tend to be in the \$1,000 to \$10,000 range, usually on the lower side. The advance is recouped by the press through the withholding of author royalties on the first printing.

Overall, competition is viewed by editors positively. The desire to acquire the best manuscripts possible, even when this requires competitive practices, is considered essential to keeping publishing standards high. But Thatcher cautioned that too much of a competitive spirit can undermine scholarly publishing's strengths. He wrote (Jan. 1980, p. 113):

Competition is not an unalloyed good. We are all aware of its dark and seamy side in the history of capitalism generally. What we may not recognize is the harm that competition, a relatively recent phenomenon in scholarly publishing, can do to our business specifically. At the heart of university press publishing is a very special process of review, which validates the imprint of a press: because of it, the imprint guarantees the proven scholarly merit of a work. Anything that tends to undermine or interfere with the rigor of that process is a potentially serious threat to the integrity and uniqueness of university press publishing.

Ironically, while university presses compete in acquisitions, they may in turn be cooperating in other endeavors such as editorial and design work, marketing, warehousing and sales. For example, the University of Missouri Press served as the training wheels for the fledgling University of Arkansas Press in its first five years of existence. Arkansas did its own acquisitions, and Missouri initially handled all other publishing functions on a contractual basis. The Columbia University Press acts as publishing agent for the New York University Press. Order fulfillment for the University of Tennessee Press and others is handled by the Cornell University Press. Many presses have formed cooperative groups for domestic and foreign sales representation. Most presses freely swap information about design, manufacturing, fulfillment and computer work. Even acquisitions editors have been known to refer authors to other presses, if the manuscript was not appropriate for the editors' lists. Editors do not view such referrals as part of their job descriptions. But they may do so anyway if the manuscript impresses them and they instinctively know of another press that publishes in the field.

The Editor's Decision Time

Whether the manuscripts arrive by answering a query letter, by visiting college campuses, by attending scholarly conventions, by agreeing to multiple submissions or by offering advance contracts, acquisitions editors are rated on the strength of what they "bring in."

Once a manuscript is in the house, though, the editor must decide whether the manuscript is worthy of entering the second stage of the scholarly publishing process. The editor must decide at this point whether to proceed to the peer review stage or whether to return the manuscript to the author with regret. An editor, after all, doesn't want to spend months gathering peer reviews and working on author revisions on a manuscript that clearly falls short of the press' standards.

An editor makes this decision by reading, or at least glancing at, the manuscript. An editor must be able at this stage to say 'no' -- even to a manuscript the editor may have aggressively pursued.

Beverly Jarrett of the LSU Press wrote (Jan. 1984, p. 151):

The word 'no' is probably the only word more important than 'yes' in an editor's vocabulary. The value of acquisitions editors knowing when to stop reading, when to disengage from a manuscript that is not going to work, cannot be overestimated. As slowly and carefully as editors read -- or should read -- it is wasteful to keep reading long into a manuscript after a first sense that it is going to prove unacceptable. The sooner an editor can get to the page on which he or she is confident in saying no, the sooner that editor can get on to the next manuscript -- and the author can get on to the next press.

Acquisitions editors rarely read a complete manuscript. Sometimes they read a chapter or two with care; at other times they merely skim it. They are evaluating, not necessarily reading.

An acquisitions editor at a prestigious university press said he doesn't have time to read every manuscript that comes in -- even those that interest him. He glances at the table of contents, the preface or

introduction, and will read bits and pieces of the middle chapters. "It's an art," he said, smiling. "I'm able to talk about reorganizing the book or whatever. Most authors, I think, believe I've actually sat down and read their entire manuscript. Of course, I don't tell them differently."

Conversely, an Ivy League press editor reads a good chunk of each manuscript before deciding to "sponsor" it -- meaning to push for its publication. This editor, who sponsors 20 to 30 manuscripts a year, believes in reading a lot of each manuscript before sending it out for review so that negative feedback in an outside review won't completely be a surprise. On agreeing to sponsor a manuscript, the editor unabashedly becomes an advocate of the work throughout its passage toward publication.

Other editors commented that once a press sends a manuscript out for review, the press has made a tacit agreement with the author to publish the manuscript if the reviews are favorable.

Throughout this stage, editors try to do their business with authors on paper -- not on the phone or in person unless there can be a prompt follow-up letter summarizing what was said. Beverly Jarrett of the LSU Press said editors need to clearly acknowledge their limitations up front to avoid any surprise or anger later on, should the manuscript not fare well through the remaining two stages of the editorial process.

"By limitations, I mean that the imprint of the press is not under my exclusive control," she said. "No matter how much I like the

author or believe in the project or want my press to publish it, I am not able to decide independently that LSU Press will publish a particular book. Much as an author may fall for, or win over, an editor -- and want to believe that publication with that press is a cinch -- we are obliged not to forget the limitations on our power and not to let our prospective authors forget them. It is obligatory, in my judgment, that an editor say in writing that his or her own commitment to publication must be endorsed by external peer review and confirmed by the press' faculty board."

CHAPTER 4

VALIDATION THROUGH ACADEMIC PEER REVIEW

No matter how enthusiastic an editor may be, each manuscript must meet the test of peer review before it can be published. This is an evaluation of a manuscript by the author's peers -- referees outside the publishing house.

Since scholars serve as the primary audience for university press books, it is only natural to have scholars evaluate a manuscript's contribution to a discipline before the publishing decision is made. This tradition of scholarly refereeing was born in the journals and now is the norm in scholarly book publishing as well. Leading scholars in a discipline are considered the natural gatekeeping advisees for that discipline.

This mandatory process of scholarly peer review serves as a double-sided insurance policy. For the press, peer review provides confirmation that a manuscript is worthy of being on its list. For the author, peer review can help catch errors and improve the work.

"Many people feel that readers' reports are obstacles," said Barbara Hanrahan, acquisitions editor at the University of Wisconsin Press. "It's hard emotionally for an author to realize that when he finishes a manuscript and sends it to a publisher, that's not the end but the beginning. It's the beginning from the standpoint of the publisher."

The review process is unpredictable, which makes publishing itself an unpredictable business. "If the review process were predictable," Hanrahan said, "a lot of the editorial choice would be gone. The mark of a good editor is how well the editor makes the review process serve the author. The review process really is crucial. The best books in the world have been turned down because the editor made a mistake and got the wrong reader."

To minimize that possibility, the norm in university publishing is to obtain two outside readings. With at least two peer reviews as guidance, editors reduce the fear that a good manuscript will be rejected or a bad one published on the basis of a single misguided critique. Table 4.1 shows that almost nine of 10 responding university presses send a typical manuscript to two readers for evaluation.

TABLE 4.1

Number of Outside Readers Who Evaluate a Typical Manuscript

Number of Readers	No. of Presses (N=51)
One reader	2 (4%)
Two readers	44 (86%)
Three or more readers	3 (6%)
Variable number	2 (4%)

NOTE: The "variable number" category includes a Midwestern press that responded that it uses one or two readers, depending on the manuscript, and an Eastern press that replied "2 to 10."

Depending on the editor's enthusiasm for a manuscript or the need for speed, a university press may send multiple copies of the manuscript to readers simultaneously or send the manuscript to one reader at a time. In the latter case, obviously, the first review carries great weight. Several responding university presses stipulated in the survey that a second reading frequently is dependent on a favorable first reading. If the first one is highly negative, the manuscript may be returned to the author at that point.

Presses seldom seek more than two outside reviews if both are positive. When a press seeks a third, fourth or fifth review, it indicates that the editor is an advocate of the manuscript but one of the first two reviews was less than positive. A New York editor said his press had used as many as five readers on a manuscript, but added that a press probably should decline if it takes that many readings to arrive at a publishing decision.

"When you get a strong negative, it takes a lot to overcome it," said an acquisitions editor at a prestigious university press. "Once we had a negative report from an anthropologist, but we thought it was a good work. We ended up getting five positive reports on the manuscript." The manuscript was published. This was a case of an editor believing so strongly in the worth of a manuscript that a single negative review was considered an artifact worth overcoming. In other cases, when the editor may not believe so strongly in a manuscript, an early negative review may end the decision-making process.

A few presses responded that a manuscript may go to the editorial committee with only one review, if the reviewer is a top scholar and gives a strongly favorable recommendation. But this is not general practice. The quality-control mechanism of peer review allows a press to reject a manuscript on the basis of a single negative review more often than it would publish a manuscript on the basis of a single positive review.

The Selection of Outside Readers

The network of outside readers that a press builds and maintains plays a large role in establishing the reputation of an imprint. One reason that acquisitions editors are given academic territories of list-building rather than serving at-large is to allow them to become knowledgeable enough to identify the outstanding scholars in a discipline.

Editors find reviewers as they find authors. They chat with scholars at conventions, visit college campuses and draw on friendships. Editors keep a file of potential reviewers by discipline. "We have a file on computer," a Southern editor said. "If we get a book in pre-Civil War intellectual history, we can go to our list of reviewers in that field."

Stephen Cox, director of the University of Arizona Press, compares a university press editor to a person seeking medical advice. Cox wrote (Oct. 1983, p. 24): "Just as there are many kinds of doctors to treat many kinds of symptoms but relatively few doctors expert in

any particular syndrome, there are a great many academics generally qualified to evaluate a particular manuscript but only a few who are truly expert."

In search of an expert on Shakespearean studies, an editor could turn to a multitude of scholars for advice. That would not be the case for a manuscript on literary life in post-war Poland. The more narrow a manuscript, the fewer the number of specialist scholars who would be recognized as expert enough to pass judgment on the manuscript.

The best scholars in each discipline usually are swamped with manuscripts to review. In narrow fields, in fact, presses may turn to the same experts. An editor at one university press told of publishing a book previously rejected by a university press in a neighboring state. The editor first learned of the previous rejection when she called a scholar to ask if he would review it. The scholar responded that he already had read the manuscript for another press. She asked him which one, and she then called the press to ask why the manuscript had been turned down. She discovered the rejection was based on list-building, not on the quality of scholarship. She was satisfied. "Sometimes a manuscript rejected by one press is just right for another," the editor said.

The selection of expert readers for interdisciplinary or cross-disciplinary manuscripts is more complex. A reader must have both the interest and the intellect to evaluate a broadly synthetic work. Many other hazards exist in finding the right readers for a manuscript. A manuscript that uses a new methodology or theoretical

framework can be doomed if an editor turns solely to mainstream traditionalists within a discipline. The politics of readers also can be important. "You don't want a neo-Marxist reading a particular manuscript -- it would kill it," one editor said. Added another: "A Marxist will hate a Durkheimian approach."

In addition, editors must avoid intellectual schisms. They must be cognizant of diverse schools of thought that may exist in a particular discipline. Editors seek to be familiar enough with a discipline to recognize that some experts would be inappropriate as readers for a manuscript because of conceptual differences.

The University Press of Mississippi publishes a lot about native son William Faulkner. The press' executive editor, Seetha Srinivasan, said two distinct camps of scholars exist in Faulkner studies. "If I get a manuscript from a member of 'A school of Faulkner' and send it for a review to a member of 'B school of Faulkner,' it will come back with a guarded review," she said. "We have to be very careful not to get someone belonging to a particular school. You have to be familiar enough with the subject and then find persons in the field who will be knowledgeable about the subject and at the same time be objective about the manuscript."

The advocates of one school consider Faulkner the precursor of Southern renaissance. As a result, they write in the tradition of Southern letters. The Heart of Yoknapatawpha is a Mississippi Press example of this approach. Another school of Faulkner emphasizes a

psychological reading of Faulkner's work. This approach is influenced by European critics and stems from the popularity of Faulkner translations in Europe and the Soviet Union. Intertextuality in Faulkner, which came out of a 1982 Paris conference and was published by the Mississippi Press, is an example of a non-traditional approach. The press publishes both types of works. "It doesn't really matter to me which school they're in," Srinivasan said. "What is significant to us is, is the scholarship sound?"

Certain informal rules apply in the selection of outside readers. They cannot be in the same department as the author, or even on the same campus. Editors try to avoid readers who might be influenced by irrelevant considerations such as friendship, animosity or even second-generation disputes in which scholars cleave to the grudges of their mentors.

Authors often are asked to supply recommendations for peer reviewers. "We just got a book on the history of lumbering," said Miller Williams, director of the University of Arkansas Press. "I have no idea who would know about that. I asked the author for a list of scholars in the field. I'll probably call those and ask them for others. That way, I find experts the author doesn't know." This technique also is a good way to note an author's knowledge of those best qualified to judge their work. "If they name two people in their department and their dissertation adviser, I'm a bit leery," said Kate Torrey, acquisitions editor at the University Press of Kansas.

Editors also may ask authors to name those they do not want to serve as outside readers, and why. This way, a press can avoid the coincidence of asking an author's bitterest critic to be a manuscript judge.

In such an imperfect system, the potential for abuse exists. But editors said few authors attempt to rig readers' reports by recommending cronies or by attempting to dodge the most demanding of scholars in their field. Editors who feel strongly about a particular manuscript or feel a loyalty to a particular author could themselves rig the system by selecting outside readers they believe would judge a manuscript favorably. But editors said they don't do it. A bias already is built into the system because the editor is making the initial selection of manuscripts that will make it to the peer review stage. "You don't want to build a second bias into the system in the selection of referees," one editor said. "The process offers a tempering of enthusiasm." The peer review process, when conducted fairly, becomes a system of checks and balances for the publishing house.

As a byproduct, the selection of readers can pay dividends later in terms of acquired manuscripts. A press wants the best readers it can find not only because they can give a manuscript the best stamp of assurance, but also because readers can become authors at a later point for the same press. Editors said they routinely ask reviewers what they are working on. "Sometimes we ask someone in a field to review just to establish a contact because we want something that

person is working on," a Western press editor said. Editors told of occasions in which a scholar first served as a reader for a press and later published a book with the same press.

Why Scholars Agree to be Readers

Few scholarly activities bring so little public glory as serving as a manuscript reader. Only an editor may ever know that the scholar plodded through 500 pages of typescript and prepared a six-page, single-spaced critique chronicling a manuscript's strengths and weaknesses. The manuscript itself, if the report is negative, may never make it into print. The scholar, in such a case, never will be able to even hold a published book in hand and say that the hours spent on the product were worth it.

The scholar also certainly doesn't do it for the money. Readers' fees provide only slight financial compensation for the time and effort involved. University presses offer fees generally ranging from \$50 to \$150, depending on the length and complexity of the manuscript. In lieu of money, most university presses offer an equivalent value of books at discounted prices. Sometimes, readers will glance at a press' catalog and find a book or two, with the discounted prices subtracted from the stipulated fee. Usually, though, readers take the money in full.

But in no way does the reader's fee cover what they do. So why do scholars agree to serve as manuscript readers? One reason is that manuscript refereeing is regarded as part of the job description of

a scholar. "The money is secondary," one editor said. "It's an honorarium. Think about it. That's less than minimum wage. They do it for protection, to ensure that material in the discipline stays high. Also, it's a way to keep up, to see new trends before they become generally known."

A major inducement for scholars to spend their time reading and evaluating a manuscript is their own interest in the subject. New manuscripts include new information that, if of any value at all to a scholar in the particular field, will have to be read when eventually published anyway. So to read it in manuscript form is not necessarily wasted effort. Another reason is that scholars enjoy getting to know editors who, in the future, might want to sponsor the scholar's own work.

Once the press decides a manuscript is a possibility, the editor must locate and contact appropriate outside readers. The editor's overture to the appropriate outside readers is a delicate editorial skill. Some editors write letters; some send telegrams. Most said they use the telephone because it is faster, more direct and results in a higher acceptance rate.

"Seldom am I turned down," one editor said. "You have to do your homework first. I let them know I'm not calling them out of the blue." Added another editor: "If you get turned down repeatedly, you start wondering about the manuscript. After all, if we can't pay people to review this manuscript, how are we going to get people to pay to read it?"

This step of finding and contacting the appropriate readers can take from a couple of days to a couple of weeks, depending on the urgency of the situation and on the fervor the editor may have for the manuscript under consideration. For authors, time can be important. Some may be facing tenure or promotion decisions at a specified time. The time factor is exacerbated by the tendency among university presses to discourage multiple submission of manuscripts. Even once an author has found a press interested in the manuscript, the publishing machinery moves slowly. It can take months or even years from the point of manuscript submission to the point of published book. So an important factor in the publishing process is the length of time it takes outside readers to evaluate a manuscript.

Table 4.2 shows that about half of the responding presses estimated that outside readers typically report back in six to eight weeks. Most of the other presses estimated the average response time to be four or five weeks. Of course, not all manuscripts are typical and not all readers respond within the typical time frame. An Eastern press director said: "Anything from one week to six months. These who take six months are swiftly dropped from our stable of reviewers." Another noted that some readers put the manuscript on a corner of their desk, where it gets covered with other papers. "We've had readers who have even forgotten they have the manuscripts," the editor said. "I've had readers who went on vacation without sending in their review or returning the manuscript. Academics are not the most efficient!"

TABLE 4.2

Average Length of Time a Reader Takes to Evaluate a Manuscript

Length of Time	No. of Presses (N=51)
One to three weeks	2 (4%)
Four to five weeks	21 (41%)
Six to eight weeks	25 (49%)
More than eight weeks	3 (6%)

NOTE: These ranges were not specified in the questionnaire. The open-ended responses -- several of which contained such ranges -- have been grouped in these categories for ease of comparison.

Some scholars realize upon receipt of a manuscript that they don't have a real interest in its topic. Susan Rabiner, an editor with the Oxford University Press, said she once had a scholar return a manuscript without critiquing it, saying in appropriate British terminology: "It's not my cup of tea." Kate Wittenberg of the Columbia University Press said reviewers are instructed to let the editor know immediately if they realize they can't get to a manuscript sent to them. Still, editors said, some manuscripts get pushed aside.

University presses tend to send manuscripts to the busiest scholars and are, in a sense, asking a favor of them. There's really no way around it, short of staying away from busy people who are busy precisely because they are the experts in a field.

A universal fear of young scholars whose manuscripts have at last reached this stage is that the busy scholar who agreed to evaluate a manuscript is swamped with manuscripts and will sit on it for two semesters. But editors routinely specify a deadline for a reader's report to be submitted. The University of Iowa Press, for example, asks its readers to report within four weeks. Others give six or eight weeks. "If they're late, you nag," replied an acquisitions editor for a university press in the East.

What Readers Say about Manuscripts

Some university presses simply ask readers to examine the manuscript and comment in narrative form on its suitability for publication; other presses provide a questionnaire for reviewers to fill out, to ensure that all aspects are covered.

Each press has its own list of questions. Readers may be asked to state the principal theme or thesis of the manuscript and to address such questions as: Is the scholarship sound? Is it accurate, balanced, thorough? Does the manuscript represent a contribution to knowledge? Is the author's style readable? Should any of the manuscript be rewritten or jettisoned? Would the reviewer recommend it to his or her colleagues to read? Finally, does the reviewer recommend publishing it as is, only after revision, or not at all? Readers are asked to write all comments on the form or in a letter. They are requested not to write on the manuscript itself, since it either will go to another reviewer or be returned to the author.

Readers are repeatedly encouraged to take a position on a manuscript's scholarly worth. An Ivy League acquisitions editor said the "nebulous middle" is common ground for reviewers. Editors don't like it. They want the experts in a field to tell them whether the manuscript should be published as a book. "We tell reviewers to move off center," said the director of a university press in the Southwest. "A lukewarm review -- well, it doesn't really help us. We ask them to get off dead center. We school our readers to say yes or no. We tell them they won't kill the book by listing some reservations."

The reports recommending a manuscript for publication don't have to be totally favorable. Few are. One reader wrote, in effect (Harmon and Schoeffel, July 1975, p. 339): "In my opinion, the author is working his way down a blind alley. But he is exploring it so interestingly and with such valuable insights that I think his work ought to be published." It was. Susan Rabiner of the Oxford University Press recalled one reviewer responding: "I don't agree with the author's perspective, but is the literature there? Yes. Is he fair? Yes." The reviewer recommended publication.

At this stage of the scholarly publishing process, many manuscripts that looked promising to editors -- and that might even have been solicited by the editors -- fall by the wayside. The number of manuscripts that receive unqualified endorsement in the outside review process is a distinct minority.

Table 4.3 shows a clear tilt toward a low manuscript acceptance rate and a high manuscript rejection rate by outside peer readers.

Table 4.3

Estimate of Responses by Outside Readers in 1985

Percentage Ranges	No. of Presses (N=52)		
	Recommend publishing with little or no revision	Recommend substantial revision prior to publishing	Recommend not publishing
Fewer than 20 percent	14	7	3
20 to 29 percent	18	11	12
30 to 39 percent	9	11	15
40 to 49 percent	2	8	5
50 percent or more	9	15	17

NOTE: These ranges were not specified in the questionnaire. The open-ended responses have been grouped for ease of comparison.

Specifically, 14 presses said their outside readers recommended outright publication for fewer than 20 percent of the manuscripts evaluated. Another 18 presses said their outside readers recommended publication, with little or no revision necessary, for between 20 and 29 percent of the manuscripts considered. Yet nine presses estimated that their outside readers recommended publication at least half of the time. Conversely, 17 presses estimated that outside readers recommended against publication at least half of the time, while only three presses said that happened less than 20 percent.

Although a trend appears clear -- one that should prevent too much optimism by an author who does reach this stage in the decision-making process -- the lack of standardization suggests that each press has its own philosophy about the outside peer review process. Some presses rather freely send manuscripts out for review. Others are considerably more selective, not sending a manuscript out for review unless the editors are fairly assured it will get positive recommendations. Ironically, the higher percentages of favorable recommendations often come from the more-prestigious presses. They publish a larger number of books by senior scholars whose works are unlikely to receive anything but a favorable recommendation. Many of the lower recommendation rates are from smaller, less-prestigious presses that typically deal with junior scholars. In search for the best, they often send out a lot of less-than-best to outside readers for evaluation.

By converting the individual percentage estimates into actual numbers of titles and then compiling an overall average, the responding presses collectively estimated that about 29 percent of outside reader responses recommended publication with little or no revision necessary, 36 percent of the responses recommended substantial revision before publication, and 35 percent of the responses recommended against publication of the manuscript.

Editors said that a recommendation for substantial revision is tantamount to a rejection. Often the editors will keep the project

alive if the author is willing to heavily revise the manuscript, but once revised it is treated much like a new project in that it goes again for outside reviews. The toughest reviewer on the first round of reviews may be asked to evaluate the revised version, or a fresh reviewer may be enlisted.

Malcolm MacDonald, director of the University of Alabama Press, said: 'Administratively, even in those cases in which we return a manuscript to an author with great encouragement to revise on the basis of one or two readers' reports, we consider our communication to be a rejection, and we consider the manuscript anew when it arrives revised for consideration. We do this because the author continues to have freedom to choose another course of action for his manuscript than the one we offer. We make certain he realizes that he has that freedom, precisely because we do not want to be put into the position of having offered encouragement, only to be forced to reject the manuscript again.'

Editors said senior scholars who receive outside reviews calling for substantial revision may turn to another press at that point, if they believe their original work is publishable and need not be rewritten. First-time authors, though, seldom want to abandon a press that has encouraged resubmission.

Not only do editors determine which manuscripts enter the publishing 'gate' and then select the most appropriate readers, but editors also must know how to interpret the outside reviews. The

former director of the Wesleyan University Press offered this example (Lockwood, April 1977, p. 217):

I recall seeking the advice of a scholar whom I consider to be the oracle in a particular field, and he suggested two readers for a specific script, people whom he knew and whose judgment he respected. 'But you must know how to read their reports,' he warned. 'A is a kindly man who finds something to praise in everyone and everything he encounters. Pay no attention to his praise of the manuscript, but be alert for any reservations he expresses, even by implication. B, on the other hand, prides himself in being tough and is a congenital fault-finder. Pay no attention to his inevitable list of flaws -- but if he says anything good, however begrudgingly, note it well.'

The selection of readers is one skill, then, and the ability to read their reports is another. Thomas McFarland, director of the University Press of New England, said, "We can tell the difference between a good report and sniping. There's a lot of instinct in this, but there's some science to the selection process, too." Editors say they can spot the negative reviews that are animated by personal or non-objective criteria. The non-objective review may not be disregarded, but other reviews are sought for balance.

One way to lessen the impact of unfair evaluations is to give the author the chance to see, and refute if possible, criticism of his work. Authors may take exception to the accuracy or appropriateness of readers' suggestions. This response, though, goes to the sponsoring editor -- not to the outside reader. Unless there is good reason to start a third-party correspondence service between author and outside reader, presses seek to avoid it. Presses want to protect outside

readers from the darts of the scorned. After all, from the press' point of view, the outside reader has performed a time-consuming service that provides no glory and little money. No scholar agreeing to serve as an outside reader wants to pick up a poison pen-pal in the process.

The key method of protecting outside readers is assuring them anonymity. Without this protection, many readers might refuse the task or might not respond with candor about the worth of a manuscript. With this protection, anonymous readers avoid becoming semi-perpetual advisers to aspiring authors whose work falls in the nebulous middle.

Another guarantee of objectivity is proposed from time to time. This proposal suggests mutual anonymity -- that when a manuscript is sent to a reader, the name of the author be omitted as well. No one has any hard data on whether readers are greatly influenced by the fame or obscurity of the author. But editors said a psychological element may indeed exist. They point to the appearance in readers' reports of such prior-influence phrases as "the author is a senior scholar" and "the author is recognized in the field."

Are authors entitled to learn the contents of the readers' reports that have served as the basis for rejection? Does the author have a right to know? Several editors said a publisher does not have an obligation to say anything other than yes or no. But none recalled ever holding a critique back from an author. Realistically, it would be a waste to have scholars in a field critique a manuscript,

particularly if the outcome is negative, and then not share the specifics with the author. Such a sharing could result in the author improving the work and having it published elsewhere as a contribution to scholarship.

Even when the outside reviews are primarily positive, readers typically will offer suggestions for revision. Authors either should make the revisions along the lines suggested, or else have good reasons not to do so. It is not necessary to make every change suggested, but it is essential to reply to the editor in a reasoned manner.

Throughout the process, editors are weighing the positives of the manuscript against the negatives, deciding whether the manuscript should go to the next stage of the decision-making process.

Malcolm MacDonald of Alabama said: "At every stage of the manuscript-consideration process we are presented with only two choices. Initially, for example, the inquiry stimulates the choice to invite or not. When a manuscript arrives, the choice is whether or not to seek an external review. When the review is completed, the choice is whether or not to obtain a second review. Finally, with two supportive readings in hand, the choice is whether or not to recommend the manuscript to our Press Committee for acceptance. Often these choices are not clear-cut and demand a great amount of discussion among colleagues. But the press' response cannot be ambiguous, for that is unfair to the author."

Editorial Committee as Decision-Maker

At university presses, editors may have in their possession a manuscript they like and even one that outside readers admire as a contribution to scholarship. Still, the ultimate decision to publish rests in the hands of a committee of university faculty members.

This committee of academicians plays no role in the publishing process until the very end. Salaried professionals -- the acquisitions editors - decide which manuscripts the editorial committee gets to consider. The editorial committee does not consider any work that has not already passed through the acquisitions filter. After the editorial committee makes its decisions, all future publishing functions -- editing, design, production and distribution -- will be handled by more salaried professionals.

Yet sandwiched between those to whom publishing is a profession is this committee of book-publishing novices. This assortment of practicing scholars operates with a different bottom line than the publishing professionals. Rather than considering the sales potential of a manuscript, they are to consider only the quality of scholarship.

Jack Miles recalled his amazement upon attending his first university press editorial committee meeting (July 1984, p. 292): "While I was an editor at Doubleday and still just a candidate for a position with the University of California Press, I attended a meeting of the California editorial committee. The meeting astonished me. None of the faculty members asked whether the books under consideration

would sell, and the faculty members did all the talking. The only question considered was whether a book was any good."

The committee's function is to control The Imprint -- a term that many in scholarly publishing pronounce as if in capital letters. Only upon formal committee action can any book appear bearing the words "University of ----- Press."

Being named to the editorial committee for a university press may just be the most popular committee assignment on campus. After all, this is a committee that actually produces something. It meets not to prevent something - empire building, the autocracy of deans, or a new idea that would merely increase the workload. The committee has the wholly positive purpose of awarding The Imprint to deserving manuscripts. Within months of a decision, the committee members get to admire the physical product of that decision. This lends an air of congeniality to the group. Factions seldom form, and they view themselves as colleagues in an interdisciplinary scholarly enterprise. Even more delightful, they get to make their decisions with minimal financial considerations. Although they do not operate in a budgetary vacuum, it's not their money or even their department's money. Theirs is a different bottom line.

The editorial committee is a group of faculty members and administrators normally ranging in number from seven to 15 who represent major areas of study within the university. The composition of these editorial committees is diverse. The Fairleigh-Dickinson

University Press has an editorial committee of 10 -- three English faculty members and one each from political science, French, sociology, psychology, history, physics and biology. The 15-member board at the University of Tennessee Press consists of five administrators and 10 faculty from history, English, Germanic and Slavic languages, political science, anthropology, philosophy, psychology and medicine. The editorial committee of the University Press of New England has one scholar from each of the nine member schools, and each campus has its own committee that serves as a prescreening device. The University Press of Kansas has an editorial committee consisting of two members from each of the six regents institutions, with members appointed by the chief academic officer of each institution. There is no formal mechanism for appointing members to complement the press' areas of publishing. "Some of our most valuable editorial committee members come from the hard sciences -- not an area we publish in," said director Fred Woodward.

Although editorial committee" is a common term for this group, it is by no means the only term. These committees go by a variety of names. Wisconsin has a Press Committee, Tennessee an Editorial Board and Harvard a Board of Syndics. Princeton has a Board of Trustees, Johns Hopkins a Faculty Editorial Board and Chicago a Board of University Publications. Whatever the name, their missions are identical -- to choose which works ultimately get published and which do not.

Table 4.4 shows that if a manuscript makes it to the editorial committee stage, its chances are exceptionally good for publication. Twenty responding university presses said their editorial committees rejected no manuscripts in the survey year. Another 21 presses estimated the rejection rate to be 5 percent or below, meaning at least 19 of every 20 manuscripts under consideration are eventually awarded The Imprint. Seven presses said their editorial committees rejected 6 to 10 percent of submissions, and three gave a rejection rate of more than 10 percent. Of those three, one estimated a 15 percent rejection rate and another a 20 percent rejection rate. The third, with an editorial board rejection rate of 50 percent, explained that the editorial committee formally rejects all unsolicited manuscripts deemed unworthy to be sent for outside review.

TABLE 4.4

Estimate of Editorial Committee Rejections in 1985

Rejection Rates	No. of Presses (N=51)
No manuscripts rejected	20
1 to 5 percent rejected	21
6 to 10 percent rejected	7
More than 10 percent rejected	3

NOTE: These ranges were not specified in the questionnaire. The open-ended responses have been grouped for ease of comparison.

Several editors said privately that sometimes they will submit a manuscript that received lukewarm outside reviews to the board for consideration anyway, just so the author will be angry at a faceless board rather than at the editor for not pursuing publication to the end. At some presses, editors know that the committee likes to be able to say 'no' to something now and then.

By converting the individual percentage estimates into actual numbers of titles and then compiling an overall average, the responding presses collectively estimated that about 3 percent of all manuscripts brought before editorial committees are denied The Imprint.

University press directors and editors say the approval rate of editorial committees is high because, by the time a manuscript reaches the committee, it has proven its quality both to the editors and to academic peers. "We do not take to the board any unpromising projects," a University of Minnesota Press editor said. Added Miller Williams, director of the University of Arkansas Press: "It's a pretty damn good book by the time we go from 1,000 manuscripts and 3,000 query letters to eight published books a year."

Independent and Dependent Committees

The editorial committees at university presses may have the same mission, but some have evolved into powerful boards while others serve as rubber-stamp mechanisms for the editors.

An acquisitions editor at a Southern university press called his editorial committee "a pussycat." The committee is comprised primarily of business professors and others who know little about the press' list areas. The editor said the committee gives blanket approval to all editorial suggestions. At Kansas, the editorial committee has never said no to a proposal, and only two 'no' votes have been cast in Fred Woodward's years as director. "I've never taken a project to them without my strong recommendation," Woodward said. "If I am held accountable for how the press does, then I need a lot of leeway in what the press publishes." Richard Hobbs, acquisitions editor at the Naval Institute Press, said the staff serves as a culling unit and the editorial board then approves 99 percent of the manuscripts brought to it.

At other university presses, the editorial committees have developed reputations for unpredictable independence. An editor at a Northern press commented about her press' editorial board: "They don't want to be a rubber stamp. Projects you are sure will sail through will run into problems. Others you think are safe will get caught in the funniest arguments." While at another press, this editor sponsored a manuscript on deconstruction and theology. Deconstruction is a development in contemporary critical theory that, when applied to theology, challenges a lot of traditional notions about the timelessness of God. Members on the editorial committee balked at granting publication to such a work. She finally told the committee: "I don't think you should refuse to publish a book because it takes a

field in a new direction." She won the board battle by one vote. "I was desperate. I couldn't imagine going back to the author and saying I couldn't win a fight for his book."

-- Editors do develop a loyalty to the manuscripts they choose to sponsor. Once they have obtained positive outside reviews from the scholar's peers, an editor expects the editorial committee to say 'yes.' If the manuscript is threatened, the editor can become a crusader.

The relationship, then, between editors and editorial committees is one of camaraderie at times and can become adversarial at other times. That's because editorial committees rely completely on editors to bring manuscripts to the publishing house. Yet editorial committees have the power -- and they occasionally use it -- to decide not to publish 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. A. Bartlett Giamatti, once a member of the Yale University Press publications committee, wrote (Jan. 1976, pp. 130-131):

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.

Objecting to the term "affectionate antagonism," Yale editor-in-chief Edward Tripp replied (Jan. 1977, p. 101):

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 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?

Tripp said editors are human and thus suffer from blind spots, too great an empathy with authors, and unreasoned dislikes that occasionally cloud their judgment. "At such moments," he wrote (p. 102), "unworthy manuscripts may storm their defenses 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 defense." Tripp added (p. 103):

The truth is 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 -- to pluck the remaining weeds out of the bouquet that the editors bring to each meeting. This is a purely negative function, 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.

The editorial committee at the Princeton University Press in the early 1980s routinely pitted manuscripts against one another. Professor Robert Darnton said that during his years on the board, a dozen or so manuscripts would be selected at monthly meetings from a field of 15 to 19 manuscripts that all had passed the tests. "There is

no ironclad quota, but there are always losers -- and more of them each year as the competition gets stiffer," he wrote (1983, p. 533).

At the 1985 Southern university presses convention, while awaiting a talk by Alex Haley, several university press directors and editors talked about Princeton's acquisitions methods and its editorial board. "Young scholars are excited to get a letter from Princeton," one director said. "But they solicit far too many manuscripts." Since only two-thirds of the manuscripts that met outside reader approval were accepted by the board during this time, it meant that a considerable number of scholars were encouraged and then, at the last step, their manuscripts were ditched. "I'm not saying their (the authors') lives have been ruined, but they have been traumatized for awhile," one editor added. The Princeton board traditionally did not carry over any manuscripts from one board meeting to the next. If a manuscript didn't make the cut the first time, it was out. "It's really traumatic," another editor said. "They're playing with their lives. They encourage them, get them all excited, and then the board dumps the manuscript." Some of the Princeton editors felt so guilty about this, another editor said, that she occasionally received a call from a Princeton editor trying to place one of the turned-down manuscripts at another press. One director told of publishing a Princeton board reject. "Too late for him. He was denied tenure. I'm not saying it ruined his life -- he's now in the movie business in California -- but that wasn't what he originally wanted to do," this director said.

At the 1986 Organization of American Historians convention in New York, Gail Ullman, acquisitions editor at the Princeton University Press, said the Princeton board in the early to mid 1980s was turning down a large number of manuscripts. "It was a difficult situation for editors," she said. Ullman said the board-editor relationship at Princeton, though, had become more reciprocal in recent years.

The Princeton situation was not typical. Usually, an editorial committee never operates under a quota system but decides what manuscripts to publish based on whether each manuscript under consideration has scholarly merit. Charles Grench, an acquisitions editor at the Yale University Press, said the Yale board is not used as a mechanism to say 'no' to manuscripts. If found worthy, all manuscripts brought before the board could be approved for publication, he said.

The quota system operates at a previous stage. University press directors know about how many new titles they can publish in a given year and still stay within their budget and staffing limitations, so they use past experience to determine how many manuscripts they need to have under consideration at any one time.

Editorial committees, of course, continually change in membership. Some presses, though, have developed reputations for having maverick boards. The editorial board at one prominent West Coast university press has the reputation of being "a wild card," as one editor put it. One established scholar related how it took this press five years to publish his manuscript on psychoanalysis involving

the medical profession. He said he had made substantial revisions based on a set of readers' reports, only to have an editorial committee member declare: "What right does a non-M.D. have to write a book like this?" The board ordered the editor to select a new chief reviewer -- this time, a practicing M.D. was mandated. This second round took more than 18 months before it reached the board again. This time, the manuscript was approved for publication. The author praised his sponsoring editor, calling him "a gladiator in the ring for my manuscript." But the author said he was bitter that he had been forced to delete some of the more penetrating psychoanalytical insights in order to make the manuscript acceptable to the editorial committee. "A lot of the edge, a lot of the pungency was taken out. I don't disavow the book, but it's not the book I originally wrote," this author said. "Now, I love a good editor, but I'm talking here about intellectual censorship. If the cream-of-the-crop press is putting pressure like this on authors, what about the little press? They can't be as daring."

Presenting Manuscripts for a Vote

Depending on the size of the press and the activist nature of the board, editorial committee meetings range from once each month to only three times a year. This is a time for faculty members serving on the committee to clear their calendars for at least half a day.

A few presses -- primarily the small ones -- encourage editorial committee members to read at least parts of all manuscripts under

consideration. At the larger presses, that is all but impossible since so many manuscripts are considered. One committee member often is designated to report on a particular manuscript. When no one on the committee is particularly suited for a manuscript, the editor may be designated to make the presentation. "For a project on medieval literature, I would present that project myself because there's no one on the editorial board with expertise in the field," one acquisitions editor explained. At some of the larger university presses, which publish an average of one new title per workday year-round, the editorial committee can't even divide the workload. At the University of Chicago Press, for instance, editors present the projects under consideration.

By the time a manuscript reaches this stage in the process, editors worry about extraneous factors entering the picture. For that reason, some editors prefer -- although this is seldom spoken aloud -- that faculty members on the board who are outside a manuscript's scholarly field not read the manuscript beforehand. An acquisitions editor at a university press in the Southwest related an example of an extraneous factor harming the scholarly process. "One board member took a book not in his field home with him," the editor said. "His wife, who was tangentially related to the field, criticized it. The editor, as a result, had to get another series of reports. If someone on the board is an expert in the field, then of course they should read it. Otherwise, we'd just as soon they not."

No matter who makes the presentation, each editorial committee member has the dossier on each manuscript -- readers' reports, author's responses, sometimes part or all of the manuscript itself. When the appointed time comes, the committee member or editor makes a report. All committee members have in front of them photocopies of the same correspondence, which they may or may not have waded through themselves. If the committee member goes on at length but without focus, another committee member likely will cut through the verbiage with a direct question such as: "Should we publish this book?"

One of the rewards of committee service is becoming familiar with scholarship that a professor might not otherwise read. Professor Hugh Kenner fondly recalled experiences during his six years on the University of California board (July 1974, p. 293):

In theory, manuscripts went to committee members already expert in the subject field, but so broad and continuous is the spectrum of submissions that Omniscience itself couldn't select that knowledgeable a committee, not even from California's nine-campus faculty. So sponsoring editors grow expert at spotting unlikely zones of responsiveness in committee members. For years all our film manuscripts were presented by a man whose certified competence, French literature, was rarely called on, and everything pertaining to music by a biologist. Another biologist was our Swahili expert. If you want random wide-ranging expertise, you seem to strengthen your chances by stacking the deck with biologists. Things were never so lively as in the days when by some miscalculations there were five of them on the committee at once.

At Kenner's first-ever editorial committee meeting, one manuscript under consideration was a fiercely detailed account of the taxonomy and habits of the Tasmanian Bandicoot. The committee member

assigned this manuscript had become captivated by photographs of the Bandicoot. As Kenner told the story (July 1974, p. 295):

He set out to sell us not on the monograph but on a higher theme: the Bandicoot. He passed around photos. He rhapsodized on their sharp little eyes. He sketched impassioned sagas of their ways with one another in the night. After five minutes he had us panting to emigrate to Tasmania. After five more, his trajectory terminated, he turned around twice out of sheer undissipated rapture, and sat down. In the silence that followed, we voted to publish the monograph. I never heard how it did, except that it wasn't a bestseller.... But the members of the Editorial Committee who filed out for lunch that day were life-long Bandicoot-lovers to a man.

This is not to say that editorial committees take the task lightly. Vigorous debates about the scholarly worth of a manuscript can break out among committee members. The committee may express concern about the list-building directions of the press. The committee may void months of work by an acquisitions editor by concluding that a work fails to meet the standards of The Imprint. But amid these deliberations, scholars enjoy the give-and-take with scholars in other disciplines in an endeavor that actually has results.

Inside an Editorial Committee Meeting

The political scientist, the anthropologist and the psychologist lingered around the tray of cookies and soft drinks as the editorial committee meeting was called to order. They were steeling for a long meeting because 14 new manuscripts were under consideration for publication by this particular university press.

The acquisitions editor was a bit ill-at-ease. Before the meeting, she had confided: "We have a lot of iffy projects this time, and I frankly don't know how it will go."

- The president of the university wasn't present. He seldom was. But two of the three university vice presidents who serve as ex-officio board members were present, along with faculty members from the humanities and social sciences. Although the cookie area remained congested, the committee chairman was anxious to begin.

The first manuscript on the agenda was a historical study of popular music. Each board member had received, in advance, a summary of the manuscript's contents and main arguments, information about the author, and copies of two outside reviews of the manuscript. One reviewer -- an English professor at a prestigious university -- described the manuscript in glowing terms and strongly recommended publication. But the second reviewer -- an English professor at a less-prestigious school -- was less enthusiastic. He wrote:

I do not think the manuscript should be published in its present form, but the raw material is here to make a good book.... There is little real analysis of any sort -- musical, historical, sociological -- and thus little rationale for publishing this with a scholarly press. I would encourage the author to think more about the meaning of all this material, to create a suitable theoretical framework for it, to add a substantial introduction and conclusion, and to improve the organization and direction of the individual chapters.

A languages scholar on the editorial committee had been assigned to read and report on the manuscript. After giving a thumbnail sketch of the manuscript, he lamented: "This manuscript is a seemingly endless

catalog of names, places and events. There is no real form. We simply cannot publish the book as it is." Committee members talked about specific problems with the manuscript and finally asked for the opinion of the university press director, who replied: "I'm a bit mystified myself that he hasn't written a better book." The committee eventually reached consensus that the manuscript should not be published as is but that the author should be encouraged to substantially revise the book and resubmit it for consideration.

The university press director and other staff members didn't talk unless called upon. The marketing director was present throughout the meeting, but never was asked any questions. The scholars did the debating and the voting. They were in control.

The second manuscript under consideration dealt with an aspect of American culture. The manuscript had a checkered past. It was written by a professor at a school within the university press' own system. But the first two outside reviews had blistered the work. The first reader wrote:

I am sorry that I could not find more nice things to say about it, but honestly I am rather depressed to find him wasting his time like this. The book has a thrown-together, dictated-but-not-read quality, and in my opinion could not be made into a serious work of scholarship or even a 'good read,' however much time were spent on revisions....

I tried manfully to keep from scribbling on the manuscript, as you requested, but toward the end succumbed to natural indignation. It is disheartening to see one's own work cited by someone who has either not mastered it or, worse, has not even read it. I hope, however, that you will not put my negative report down to wounded professionalism; I would have written a favorable report if it were at all possible....

The style in which this manuscript is written ranges from cute to embarrassingly bad. The adjectives I would use are personal, whimsical, clumsy, gauche, dull, and sententious. Some of the chapters begin like sermons by a young preacher who was wounded by a course in sociology.

The reviewer chastized the author for sending a manuscript to a publisher without first having other scholars read and critique it. He said no senior scholar would think of launching a manuscript without first having picked as many brains as conveniently possible. Then, despite writing such a scorching review, the scholar declined the opportunity to remain anonymous. "Inasmuch as you told me the name of the author, I think I am morally obligated to allow you to give him mine," the reader wrote. "I don't know why publishers dropped the practice of masking authors' identity, but apparently the dropping is general, inasmuch as most of the manuscripts I get nowadays have the author's name thereon."

The second outside reader also wrote a negative evaluation, but less so. He said the whole manuscript wandered, and there was little sense of chronological development in any of the chapters. He said irrelevancies and anachronisms abounded, and the focus of each chapter was vague. He said sentences were long and convoluted, and repeated hyperbole tested credulity. He said the rambling disquisitions that began each chapter sounded "like a jaded professor talking down to undergraduates." He concluded: "I hate to recommend that anyone take a completed manuscript back to the beginning and do it over, but that is what this one needs."

This undoubtedly would have been the end of this manuscript, except for one reason. By this time, the author had been named by his university president to the editorial committee of the very same university press. Amid this awkwardness, the press plunged ahead in hopes of salvaging the manuscript. The author was shown the reviews, and he replied in a letter to the press' director:

I want to apologize for the two wretched reviews of my manuscript you ended up paying for; they were by light years the two worst I have ever received for anything.... I am in the process of tearing the book down and incorporating many of [the second reader's] suggestions.

So the process started all over again. At the author's request, the revised manuscript was sent back to the second reader for a new evaluation. The first reviewer had been so negative that it was not considered worthwhile to send him the revised version. The second reader gave the revised version a positive recommendation, pending even more revision and editing. For instance, the reviewer wrote: "Ruthless cutting and editing of every chapter and paragraph -- removing every adverb, every hyperbolic phrase, and every occasion where prose wanders from the topic at hand -- will make the book better, the argument clearer, and any reader happier."

The author was sent a copy of this new critique and he responded: "I was pleased to see that my reader has changed his evaluation of the manuscript and actually had some good things to say about it this time. It is not the most effusive report I have ever seen but the distance from his first one is gratifying."

The press then decided to involve a fresh, third reader -- a professor at a prestigious university in the East. He had his criticisms, too, calling various chapters "glib and debatable" and saying that "one might envision a total rewriting of the work." Yet, in the end, the third reviewer called it a manuscript worth publishing as written.

With that, the press' editors decided to take the revised manuscript to the editorial committee. The author was asked to leave the room during discussion. The committee member assigned to present the manuscript gave it a positive recommendation, but advised dumping the final chapter altogether. The committee members obviously liked their colleague, known for his wit in committee meetings, and, with two generally acceptable reviews on the second go-around, voted with minimal discussion to publish the book pending more revision. It left the revision up to the press' editors in consultation with the author. The author then was invited back inside and welcomed with nods of approval from some of his colleagues.

The third manuscript under consideration was a monograph dealing with an aspect of early American history. The monograph was a revised Ph.D. dissertation in history from an Ivy League school, and this was the author's first effort at book form. The lead reviewer called the manuscript significant in its revisionist work, but he criticized the author for delighting too much in attacking the views of other historians. The reader's report said:

In pursuing its major theme, it is inclined to be tendentious, indeed pugnacious. While other historians may require modification of their interpretations, it is somewhat ungracious to discount them all as worthless. An author is certainly permitted to press his own interpretation vigorously, especially when it is original, but he might well do so with ... moderation.

The reviewer then noted that his own article on this subject had not been cited, adding: "Perhaps that is just as well; the article and its theme would probably have been dismissed with all the other historians whom [the author] relegates to the junk pile of historiography."

The author, seeking tenure and wanting publication, had responded to the press' acquisitions editor that he would be happy to make the proposed changes in his manuscript. He added: "I never meant to imply that every historian who wrote on the subject was inept. What is required is more graceful phrasing."

After revision, the same reviewer read it again. He seemed more critical the second time than the first, writing:

I do think there is a publishable book here, and I would hate to see the vast research that went into it buried in an unpublished manuscript. However, I worry about its 'dissertation' style: too many footnotes, too many short sentences, argumentation with other historians in the text. Ideally, [the author] should sit back and rewrite the whole thing in more readable, plainer language -- but no one can ask him to do that.

The second reviewer was kinder, calling it "an excellent piece of work." The author quickly responded with a letter to the press, praising the second reviewer's insight.

At the editorial committee meeting, with one positive report and

another still-critical report in the dossier, the committee member assigned to present the work was highly defensive at first. But despite the mixed reviews, he gave it a glowing recommendation. "I think the readers are often off-target," he said, "or else there is no reason for us to be here." He said of the first reader's suggestion to broaden the work to include other colonial activities: "My God! That's a life's work! Maybe a team of scholars could do it. Obviously, it would make the book stronger, but it's not critical." With a strong recommendation from their colleague, the editorial committee approved publication.

The fourth manuscript under consideration was an ideological assessment of feminism and black activism. It was a revised dissertation. The information sheet given to committee members listed the author as an instructor at an evening school and as an adjunct instructor at another small school. When a committee member asked for more information, the university press director responded: "One may assume that he is looking for work. At the moment, he is abroad doing research."

The two outside reviews were lukewarm, both recommending substantial revision yet both praising aspects of the work. A member of the editorial committee was assigned to evaluate the manuscript. She, too, was lukewarm. "It's not a bad book, but it's not a good book," she said. "It just doesn't seem to go anywhere. It's not a matter of rewriting conclusions. It's that the author has no conclusions."

Another committee member asked the press director whether the author could be asked to rethink his conclusions. "He's off in the wilderness doing research on something," the director said. The committee members laughed -- it was their first laugh after 90 minutes of intense deliberations -- and one of them quipped: "Maybe we ought to leave him there." With that, the board voted not to publish the manuscript.

Next on the agenda was a social science series strongly desired by the acquisitions editor. A nationally acclaimed scholar had agreed to be the series editor, and his association with the press would add prestige to its list in this specialty. But, to the acquisitions editor's disappointment, the scholar had proposed starting the series with a revised version of one of his own books, first published more than a decade ago and now out of print. The revised version included a new foreword and two new concluding chapters.

One outside reader was effusive in his praise. Another said he was disappointed with the two new chapters. A third reviewer recommended publication but didn't like one of the new chapters. A fourth reviewer was so negative that he refused to put anything in writing. The fate of the yet-unannounced series hung in doubt during the editorial committee discussion. A social scientist on the committee, asked to present the proposed series, recommended publication only on two conditions: 1. the last two chapters be dropped, and 2. that publication of the revised book be delayed until an original manuscript is submitted to be the lead book in the series.

At the end of the presentation, the social scientist on the committee turned to the acquisitions editor and said: "The author may just die at these suggestions. What do you think will happen?"

- "He'll just have to die," the editor responded, agreeing completely that an original work should introduce the series. "But we don't want to blow it," the social science professor replied. "Pour a little sugar on this guy. Tell him, 'We are delighted to publish your book' or, if he's not willing to drop the last two chapters, maybe he will compress two chapters into one so that we have only one doggie chapter there."

Another board member asked if the press stood to lose the series by refusing to let this reprint serve as the first book in the series. Was the press willing to compromise? The university press director responded: "I am unwilling to let the author dictate to the press. We'll let the series drop first." The board then voted to convey the two stipulations to the author.

The next manuscript under consideration dealt with desegregated schools. The two outside reviewers -- both from prestigious West Coast universities -- cited problem areas but gave it strong marks overall. With two fairly positive reports, it looked on paper as if this might at last be a manuscript that would sail quickly to approval. But not so. In her letter of response, the author had concentrated on the positive remarks of the reviewers and ignored the negatives to such an extent that the university press director told the board: "I was not

encouraged by her letter." The editorial committee member assigned the manuscript declared it "not publishable as it now stands." The committee member said the author needed to cut as much as 100 pages of the 300-page manuscript and that the revisions needed were too substantial to be left to the author's discretion. Following the committee member's appraisal, the editorial committee voted to put the manuscript on hold pending substantial revision.

The meeting was going slowly. None of the first six manuscripts had been clean and swift, with two positive reviews followed by a positive committee presentation. The committee, in fact, had agreed to publish only two of the six manuscripts brought before it -- an unusually low acceptance rate by the editorial committee of this particular university press. The acquisitions editor's prediction beforehand that there were a lot of "iffy" projects was coming true. One of the committee members rubbed his neck forcefully. Another got up and paced awhile. Still another opened her third soft drink can. The agenda was not even half completed, and they had been meeting for more than two hours.

Next on the agenda was a historical account of a schism within a small religious movement. One outside reader favored publication but wanted the topic expanded considerably. Another outside reader called it "a fine piece of work which ought to be published essentially as it stands." The reader paid the manuscript the supreme compliment by saying it supersedes his own monograph on the topic. The author

responded with a witty letter: "It goes without saying that I agree completely with [the second reader's] perceptive comments -- now there's a scholar with insight, one whose recommendations should be adopted with alacrity. I hope the editorial board does its duty." The author then addressed the concerns of the other reader in a manner that came across as cooperative yet without pledging to expand the study.

A university administrator assigned to review the manuscript for the editorial committee found it to be a good read, although he said occasional metaphors were jarring. "It happens only every 30 pages or so," he said. "It's like driving down a smooth interstate and hitting a chuckhole every 50 miles. That can be very dangerous. Someone needs to block those metaphors."

The administrator kept going into detail about the work until, finally, a committee member broke in by saying: "Is it a book we should publish?" The administrator said it would be foolish to reject the manuscript because it makes an important contribution to scholarship, although in a narrow way. He called it a lengthy manuscript on a very narrow subject. "Not every book is going to make a bestseller. This is a good historical study as far as it goes," he said. "It's fascinating -- if you like to read this sort of thing." The committee approved its publication.

Next to be considered was a critical assessment of the career of a prominent film director. The reviewers gave it good evaluations, and

the editorial committee member who read the book said: "This is not the kind of book I normally enjoy reading, but it surprised me. This is the kind of manuscript I'd expect a commercial publisher to pick up." But another committee member questioned whether the press should publish the manuscript since the press was dropping film criticism from its list. Heads turned again to the press director, who said that film criticism was a valid publishing area but few universities were teaching film studies anymore, hence the market was fragmented and hard to reach. Then, when a committee member commented that all that this particular director had made was "just a bunch of schlock," a mild debate broke out over the artistic value of certain movies. The committee voted, in a split decision, to publish the manuscript.

A proposal to issue an advance contract for a book on the courts followed. Since this was for an advance contract, the acquisitions editor had sent the proposal to three outside reviewers, and three more scholars had been consulted on the general quality of the author's work. Everyone agreed the author was competent as a scholar. But only one reviewer recommended a commitment by the press. The others said they couldn't tell from the prospectus if the author had a textbook or a monograph in mind. Shown the reviews, the author responded that he intended a monograph based primarily on his own data.

With that as background, the editorial committee member assigned to study the prospectus called the author "a first-rate junior scholar" but said that was an insufficient reason to take the

extraordinary step of offering a contract before the manuscript was written. The acquisitions editor, becoming bolder as the meeting progressed, countered by saying that a good reason did exist -- other university presses were after the author. "We need to go after the young go-getters. He's an up-and-coming young scholar," the acquisitions editor said. The committee member, though, said the proposal read "as if he sat down at the typewriter and whipped it out in one afternoon." Another committee member commented that the press certainly wouldn't want to commit itself to a poor proposal. "If you've ever sat on a thesis or dissertation proposal, you know what I mean," he said. "If a student doesn't know what he is doing, he can't do the research."

The acquisitions editor said she had heard the author at a regional political science convention. "He did very well indeed," she said. "I realize the proposal itself is not on target. I think he submitted it to commercial publishers first, and that's why it reads like a textbook proposal. But I don't think he's out to write a textbook." After the press director added, "I hope we don't lose him," the board voted not to issue an advance contract but instead to encourage him to submit another proposal rather than go to another university press.

Next, the wearied committee tackled a manuscript concerning science and technology. A number of contributors wrote the series of essays. Outside reviewers recommended publication, and the

acquisitions editor warned the committee that two big-name presses had shown great interest in the manuscript. It looked like a shoo-in. But wait. The committee member assigned this manuscript distributed copies of his own typed evaluation, which said in part:

Finishing this book is like spending three days scaling Mount Everest only to arrive exhausted at the top and discover a family lounging in front of its Winnebago. The essays are much better at outlining the problems of governing sophisticated technologies than they are at offering solutions. Philosophically, the essays are another chapter in the feud between the Jeffersonians and Hamiltonians. On the one hand are those who believe that science can only be governed by elites who speak an arcane symbolic language, and on the other those who demand the public has a say in what science is 'done' and for what purpose.

The board member said the manuscript's greatest weakness was its conclusion -- it lacked one. Still, in the end, the faculty member favored publication. The board approved, subject to the addition of a conclusion.

It was clean-up work from here on. The editorial committee approved a natural history manuscript that had been written on advance contract. It approved publication of a literary anthology of the state's writers, proposed by the state itself. It approved the publishing of the journal and letters of a key artillery officer in the Union Army. It also approved the reprinting of the historic state guide.

The meeting had lasted all afternoon. Nine of the 14 proposals had been awarded The Imprint. Only one manuscript had been killed outright; the rest had been denied publication in their current form,

yet an avenue for reconsideration had been left open. Getting on the elevator to leave, an editorial committee member commented: "That sure was a long meeting. We had more things to snarl at today." It would be another three months before this particular group in academe would gather again with the mission of plucking the weeds out of the bouquet prepared by the editors.

CHAPTER 5

FINDING AND FINANCING SCHOLARLY MONOGRAPHS

University presses are best known as publishers of scholarly monographs -- books on narrow subjects that appeal to specialized audiences.

These are the books that serve as a butt of jokes among the uninitiated to scholarly publishing. After all, a person without an interest in the intellectual study of a particular discipline naturally would find books in that discipline to be of little, if any, value.

For instance, without an interest in financial history, one might view a 712-page book with the title Money and Banking in Medieval and Renaissance Venice (Johns Hopkins University Press) as an exercise in minutiae.

Without an interest in anthropology, one might consider a book with the title Asiwinarong: Ethos, Image, and Social Power Among the Usen Barok of New Ireland (Princeton University Press) as intellectually unapproachable.

Without an interest in the labor movement, one might view a book with the title Rebuilding the Pulp and Paper Workers' Union, 1933-1941 (University of Tennessee Press) as proof that scholars are determined to learn more and more about less and less.

Without an interest in political science, one might consider a

book titled Iraq Between the Two World Wars: The Creation and Implementation of a Nationalist Ideology (Columbia University Press) as evidence of academic preoccupation with historical trivia.

- Without a specialized interest in literature, one might question the need for a book such as Hero, Captain, and Stranger: Male Friendship, Social Critique, and Literary Form in the Sea Novels of Herman Melville (University of North Carolina Press), which contends that Melville was homosexually oriented yet could realize that desire only in the world of the ship.

Scholarly monographs seldom have an appeal outside academic circles. Monographs aren't stacked on bookstore shelves; there is little walk-in customer demand for a book on Iraq's nationalistic ideology. Best-seller lists aren't packed with monographs; general reader interest is slight for a 712-page book that explains banking and finance in medieval Venice. Monographs aren't the talk of the party; with the possible exception of a lumbermen's reunion, revelers have little desire to chat about the Pulp and Paper Workers' Union of 50 years ago.

Monographs are written not with the goal of obtaining popular appeal and general readership, but with the goal of contributing to the intellectual inquiry of a small corps of adherents within a select discipline.

For instance, one of the latest developments in archaeology is the use of computer simulation. Archaeological data are examined by fitting sets of conceptions into computerized models that imitate the

real world and simulate the operations of past cultures. Models are based on such discoveries as the number of pot shards found at a site. How many people used them? What foods did they eat? Did they carry their water by hand? Like a lawyer in court, the archaeologist builds a case in determining settlement patterns. In its search for explanations of the past, the study of archaeology has evolved from random data collection to cultural description, proceeding through chronological ordering to interest in processes, and now to systems construction.

"For archaeologists, computer simulation is the leading edge of the field," said David Holtby, associate director and editor of the University of New Mexico Press. "The best of the graduate students are realizing they need to study it. The best of the faculty members are realizing it, too."

The New Mexico Press published Simulations in Archaeology, edited by Jeremy Sabloff, in 1981. The book is part of the School of American Research Advanced Seminar Series.

If a person on the street were asked to name a university press book, Holtby said the person likely would select a title such as Simulations in Archaeology. "That's the way it ought to be," Holtby said. "But we ought not to overlook clear writing. These are going to be tough books, no question. But there will be generalists interested in this."

Although a monograph is written as a contribution to the intellectual understanding of a specialized audience, authors and

university presses alike always hope that it will have an impact beyond scholarly circles. Morris Philipson, director of the University of Chicago Press, said (Berkley, July 6, 1984, p. 33):

- Scholars who are concerned with moving forward with a line of development in their given discipline are always involved in what they hope will be original contributions to their line of study. That applies to all the books we publish. Their developments, their discoveries, their innovative arguments matter a great deal to a small number of people. For these developments to matter to a large number of people is always unpredictable.

Sometimes a scholarly book does assume an importance within the culture as a whole. A case in point is Stanley Elkins's Slavery: A Problem in American Institutional and Intellectual Life. The University of Chicago Press had a print run of 1,200 copies when the monograph came out in 1959. It sold almost 200,000 copies and was instrumental in the emergence of black studies as an academic discipline. Philipson said the monograph was written in a highly scholarly style intended for American historians. But the times were ripe for a study of slavery. The civil rights movement and a consciousness of race relations placed the book in demand.

Among other scholarly books to reach broader audiences through the years (McDowell, May 10, 1981, p. 13, 22-24):

* In 1943, the University of Oklahoma Press published Plowman's Folly by Edward Faulkner, a county agricultural agent. He argued that farmers were ruining the soil by overturning it with the traditional moldboard plow. He suggested loosening the soil by the disk harrow. The book sold more than a quarter of a million copies. A former

director of the press said: "His thesis was not only controversial but heretical, yet it has since changed the face of American agriculture."

* In 1950, the Yale University Press cautiously published 2,000 copies of a book by a sociologist, then watched in astonishment as David Riesman's The Lonely Crowd made its way into the American culture. The book is an analysis of American middle-class character. The Yale Press licensed paperback rights to Doubleday and it has since sold more than one million copies.

* In the mid 1950s, the Princeton University Press published I Ching, edited by Hellmut Wilhelm, a book of ancient Chinese divination and cosmology. The "flower children" discovered it in the late 1960s, about the time that Bob Dylan said he always consulted it. It has since sold more than a quarter of a million copies.

* Thomas S. Kuhn's The Structure of Scientific Revolution is considered one of the most influential books ever published by the University of Chicago Press. Since publication in 1962, it has sold more than 600,000 copies. Hailed as a landmark in intellectual history, the book was conceived while Kuhn was a graduate student in theoretical physics. It has influenced sociologists, economists, historians and philosophers. Kuhn's book argues that science is not the steady, cumulative acquisition of knowledge but a series of peaceful interludes punctuated by intellectually violent revolutions.

University presses have a rich heritage of publishing influential works. The University of Chicago Press published John Dewey's The School and Society in 1899; the press still sells about 2,000 copies

a year. Columbia University Press published Woodrow Wilson's Constitutional Government in the United States in 1908. Princeton University Press published Albert Einstein's The Meaning of Relativity in 1922. More recently, university presses have published such influential books as Norman O. Brown's Life Against Death (Wesleyan University Press), Herman Kahn's On Thermonuclear War (Princeton University Press) and Marshall McLuhan's Gutenberg Galaxy (University of Toronto Press). In the 1960s, the phrase "the battered child" was introduced into the language via a university press book that carried that title.

A 1980s example of a scholarly work reaching a public much larger than the one to which it was directed is John Boswell's Christianity, Social Tolerance and Homosexuality, published by the University of Chicago in 1980. "The book was in no way written for the general public," Philipson said (Berkley, July 6, 1984, p. 33). "It was written with all the scholarly apparatus of the genuine work of scholarship." The footnotes alone appear in English, Greek, Latin, Aramaic, Arabic, French, German, Spanish and Italian. Boswell received a National Book Award in history and 45,000 copies have been sold so far. Philipson continued: "No commercial publisher can ever control the conditions under which a book is published; therefore, it's always a matter of accident when it hits. On the other hand, it's very easy to explain why a scholarly book has significance within its discipline, and that makes for safe and sound and happy publishing of a certain kind."

Boswell's book originally was his dissertation. In fact, acquisitions editor Doug Mitchell said it ranks as the only dissertation he has seen that was ready to be published as written; most need substantial revision.

The Publishing of Dissertations

A number of scholarly monographs were dissertations in an earlier life. This isn't surprising, considering that doctoral dissertations represent a major intellectual enterprise in the life of a scholar. It also isn't surprising that university presses serve as a prime publisher of dissertations since many of the presses were established decades ago just for that purpose.

Universities once mandated the publication of dissertations. Before a student was awarded a doctoral degree, the student's dissertation had to be published as a book at the author's expense. From the genesis of the doctoral degree, publication became the measure of scholarship.

Since the dissertation was conceived primarily as a test of a candidate's mastery of scholarly method, it tended to have a tedious scholarly apparatus with footnotes on each page, and it sometimes incorporated heavy use of quotations in original languages. Since publication was by the traditional letterpress method, the prospective doctoral candidate often faced an expensive printer's bill.

Some presses established subsidiaries to handle the glut of dissertations requiring publication. For instance, in 1940, the

Columbia University Press created King's Crown Press as a subsidiary to publish dissertations by offset from the author's typewritten manuscript, dispensing with the careful copy-editing all manuscripts received in the editorial department. The reason for the new imprint was to protect the imprint of the Columbia Press from earning a reputation based on publishing books with an inferior appearance and no in-house editorial standards.

Still, the publication requirement created too much of an economic strain on the doctoral student and too much of a manuscript strain on university presses and libraries alike. Manufacturing costs increased for authors, and the number of manuscripts became too great and the use too little to justify binding, shelving and cataloguing. This change coincided with the rapid escalation of doctoral degrees awarded in the United States, reflected by these figures for the decadal years (U.S. Bureau of the Census, 1986, p. 159, and 1975, pp. 385-386):

1900:	382
1910:	443
1920:	560
1930:	2,071
1940:	3,276
1950:	6,519
1960:	9,732
1970:	29,479
1980:	32,615

Universities gradually dropped the publication requirement. In 1947, Columbia University apparently became the last major institution to emancipate its doctoral students from the requirement (Bowen, July 1971, p. 345). Correspondingly, the dilemma of making dissertations

available for other scholars had been solved by this time by a plan to put American dissertations on microfilm and store them with a company in Ann Arbor, Michigan. The cost of microfilming was much less than the cost of printing. Libraries no longer needed to store dissertations, except those produced at home and a few of special interest. Microfilm copies of others could be obtained when needed. University presses were freed to publish only the occasional ones of superior value (Fruge, July 1978, p. 305).

This change helped instigate the dramatic transformation of university presses from publishers with passive acquisitions practices to publishers with active acquisitions methods. Having the freedom to do their own list-building, editors became more aggressive in efforts to locate appropriate manuscripts.

At the same time, the doctoral process itself was undergoing scrutiny. In a speech to the Association of American University Presses, University of Chicago president Ernest Cadman Colwell criticized the dominant pattern of professional and institutional advancement in academe (Colwell, Feb. 1, 1947, p. 516):

The pattern of advancement ... committed to memory by every serious graduate student in every American university, runs as follows: 'Publication is the path to preferment and prestige. Promotion, money, and professional status are the result of scholarly publication. Scholarly publication is a contribution to knowledge. A contribution to knowledge is a Ph.D. dissertation, a monograph published by a university press, or an article in a learned journal. Professional progress is directly proportional to the length of the bibliography.'

The American scholar learns this creed while he is still working for his Ph.D. degree. He begins with the requirement that the dissertation constitute a contribution to knowledge and be published. He reads other dissertations, talks to his fellow students, and finds out that a contribution to knowledge may consist in the discovery of a fact that the world has gladly forgotten, a fact whose sole value is that it furnishes material for a Ph.D. dissertation. The pressure created by this definition often leads to no more significant result than making known to the faculty of a department something in which they have no interest or concern. 'The grass withereth and the flower fadeth,' but not as rapidly as last year's Ph.D. dissertation.

Colwell said the dissertation should be defined solely as evidence of ability to do independent work. Its value, then, exists for the university that grants the degree, and not for the world of learning as a whole. To merit publication, dissertations should meet accepted norms of excellence, he told the editors. "The university press should not have two standards for scholarly publication: one to be applied to Ph.D. dissertations; the other, to all other works," Colwell said.

The double standard no longer exists. But a sizable number of dissertations, in revised form, still are published by university presses. Table 5.1 shows that a plurality of responding presses estimated that between 10 and 19 percent of their new titles were revised dissertations. This figure may be low. As one Midwestern press director replied, it often is difficult to tell because authors are not prone to identify a manuscript as a revised dissertation. Some presses ask authors this question on manuscript submission forms; others figure it doesn't matter so they don't bother to find out.

TABLE 5.1

Estimate of 1985 New Titles That Were Revised Dissertations

Percentage Ranges	No. of Presses (N=51)
Fewer than 10 percent	12
10 to 19 percent	23
20 to 29 percent	9
30 to 39 percent	4
40 to 49 percent	0
50 percent or more	3

NOTE: These ranges were not specified in the questionnaire. The open-ended responses have been grouped for ease of comparison.

Of the 12 presses estimating that revised dissertations comprised fewer than 10 percent of their new titles, seven said they did not publish a single revised dissertation, to their knowledge, in the survey year. These were smaller presses. Conversely, the three presses that estimated that half or more of their new titles were revised dissertations were small to medium-sized presses. By converting the individual percentage estimates into actual numbers of titles and then compiling an overall average, the responding presses collectively estimated that about 16 percent -- one of every six new titles -- was a dissertation in an earlier life.

Of course, the new-title mix at university presses consists of far more than specialized scholarly monographs. A number of editors said that revised dissertations constitute half or more of their scholarly monographs, yet monographs now constitute only a portion of their new titles.

The word "dissertation" is both appealing and repelling to editors. The word has an appeal because editors recognize that the eminent scholars of tomorrow are beginning their intellectual pursuits in the form of a dissertation today. Editors want to discover the brightest new minds. But the word often creates a negative reaction. Dissertations are considered to be ponderous, over-documented and on topics of little interest or significance. One press director said the phrase "revised dissertation" makes a manuscript less attractive to editors who would prefer books by mature scholars. A Midwest director said he remains leery of revised dissertations because top scholarship requires the author to "bring the wisdom of many years of experience, which junior scholars don't have."

The problem, editors said, is that most dissertations are written without a book in mind and without an audience in mind except for the dissertation committee. Because of the desire to complete a dissertation, the tendency in academe is to choose for investigation the problems that promise neat and rapid solution. Simple problems are chosen rather than complex, and research is restricted to areas that are relatively unimportant to society.

Editors complained that too many doctoral students are allowed to

squander the intellectual enterprise rather than choosing for study a topic of substance. James Langford, director of the University of Notre Dame Press, said: "It seems to me that a good trend would be for more dissertation committees to encourage in-depth research on real issues and allow a latitude in how the dissertation is written so that it can be aimed at a book from the outset. Too often we still see undisguised or barely disguised dissertations on the use of the comma in Doris Lessing's early works."

Editors, though, resist becoming directly involved in the dissertation process. At the 1986 scholarly convention, a professor suggested that Ph.D. candidates consult a publisher while in the process of picking a dissertation topic. That idea brought a swift 'no' from a panel of editors. "We can't be of help in selecting a topic," replied Kate Torrey, editor-in-chief of the University Press of Kansas. "That's the purpose of the academic process." Another panelist, social sciences editor Henry Tom of the Johns Hopkins University Press, recalled that a professor once suggested at an Association of American University Presses meeting that a university press editor serve on dissertation committees to teach students how to go about writing a book. "You could hear the gasps from the editors," Tom said.

Editors contended the dissertation and the book must remain separate creations because, although not mutually exclusive, they have two distinctly separate purposes -- one designed to earn a stamp of academic validity, the other designed to offer knowledge to an

audience.

Occasionally, the same manuscript satisfies both criteria. To do so, the topic must have an appeal beyond the dissertation committee, the research plan must have depth and rigor, and the student must have an ability to write clearly and interestingly.

Richard Wentworth, director of the University of Illinois Press, said a good way for editors to discover excellent work on the Ph.D. level is to keep up with top scholars and their work with their best students. When Wentworth was director at the LSU Press, where Southern history is a top priority, he learned of a doctoral student working with historian George Tindall at the University of North Carolina. The student, Dan Carter, was writing his dissertation on the Scottsboro rape case in Alabama.

"I picked up the dissertation two weeks after it was completed," Wentworth said. "I started reading it at a campsite in North Carolina. It was a hell of an exciting time, excitingly written. When I got back (to LSU), I knew I had to get it before he sent it to any others. But in university publishing, you have to have someone confirm your judgment. We did it quickly. Two weeks after picking it up, we made a good offer that included a full-page ad in The New York Times. We promised good handling of the manuscript in design. We promised prompt publication. I think he knew he had a hot topic. It proved to be very big."

The LSU Press published the book under the title Scottsboro: A Tragedy of the American South. The book won a Bancroft Prize in 1970

from Columbia University and later served as the basis for a television movie. By publishing Carter's dissertation, the LSU Press established a lasting relationship with the young scholar. Since then, Carter has published twice more with the LSU Press in the field of Southern history.

Wentworth said the Scottsboro study is one of only two dissertations he has seen that could be published as written. The other was in western history -- written by a young scholar who did not live to see his work in print. John D. Unruh Jr. entered the Ph.D. program in history at the University of Kansas in 1967 and took eight years to complete his dissertation. Weeks after earning his degree, he underwent surgery for the removal of a brain tumor which proved malignant. He died two days later at the age of 38. His 900-page manuscript, with its accompanying 200 pages of footnotes, already was in the hands of the University of Illinois Press. The manuscript was shepherded to publication by his widow and by a colleague of his at Bluffton College in Ohio, where Unruh had taught.

In 1979, the Illinois Press published it under the title The Plains Across: The Overland Emigrants and the Trans-Mississippi West, 1840-1860. It won seven history awards. The book corrects a multitude of popular myths about the California-Oregon Trail. For example, the image of wagon trains encircled by arrow-shooting Sioux was an exaggeration, and Unruh's reading of more than 250 overland emigrant diaries showed that Indians saved far more lives than they took by providing directions, food and supplies.

In a front-page review in its book section, the Washington Post called it a "magisterial history," adding (Billington, April 1, 1979, p. E1):

Remarkably, he has accomplished this miracle in a highly unlikely medium -- a doctoral dissertation -- that is so rich in anecdote, so sparkingly written, and so free of academic gobbledygook that it might have come from the pen of a best-selling popularizer.

Added Wentworth of the University of Illinois Press: "The chances of a 900-page dissertation being published are very slim. An editor has to have a lot of optimism. A great majority of dissertations are not publishable as written. This one was. But most can be quickly returned."

Revising a Dissertation into a Book

A dissertation and a book look strikingly similar to the eye. Both have a table of contents, a preface, a text divided into chapters, footnotes or endnotes, and a bibliography at the end. But there the similarity usually ends.

A dissertation is a test of a student's ability to gather evidence and arrange it logically. It usually is written in a ponderous and stilted style, with an abundance of footnotes serving as a cachet of proper research. The early chapters of a dissertation tend to be replete with citations, digressions and justifications, not to mention defensive maneuvers designed to deflect aggressive questioning from the dissertation committee. Conversely, the author of a book is

not a student seeking to prove research ability but, instead, is a scholar seeking to impart the aggregate knowledge gained through extended research. A different mind-set is required.

A dissertation, then, must undergo revision before it can be published as a book. Revision is a word that means to re-see a work. To acquire that necessary "-vision," editors suggest an initial trial separation of the writer from the dissertation. They recommend setting the dissertation aside for a time, perhaps a year or more, to clear the mind of its trials. The author then should pick up the dissertation and read it as objectively as possible in addressing the question: Is there an idea here worthy of book treatment?

If so, the author should start by writing an introduction. It may not be the final version, but it will compel the author to refine the argument at the beginning of the revision process, when it is most essential to do so. The introduction should explain in clear language what the book is about. Before sending a manuscript to a publisher, the author should make sure the introduction is direct and clear. When it isn't, an editor may be forced to suggest tactfully that the author abandon the present text. With humor, a retired university press editor suggested to fellow editors the following approach -- with what really is in the editor's mind in brackets (Stainton, Jan. 1977, p. 114):

Please [for God's sake] review [throw away] the present Foreword [now labeled Forward] and devise [or ask a friend to write] an opening to describe [if possible] the idea [if there is one] behind your book [so-called].

The structure of the manuscript also must have a fresh "vision." Dissertations tend to have a convenient but artificial form built on the traditional model of 'statement of the problem, review of the literature, research methodology, findings and analysis.' Not only can this formula create a tired sameness in dissertations, but it can interfere with idea-oriented writing. Editors said a book must have a sense of progression. Anything that does not contribute to that forward movement, such as a lengthy review of the literature, is anti-structural and should be selectively integrated into a narrative style.

The writer of a book must delete all dissertation signposts. One of them is what Olive Holmes (July 1974, p. 341) calls "the trumpeter effect" in which the author of a dissertation keeps interrupting the work to refer to what already has been written or what will be available to the reader in a later chapter. She said the apologetic introduction also must go. Readers of books, unlike readers of dissertations, are not scrutinizing the manuscript for limitations, so there is no need to explain in depth what the author has not done.

A book needs to deal in ideas, not methodologies. This is seldom a problem in the humanities, but social scientists of late have become enamored with methodologies and systems. Methodologies are seldom of interest to readers of books; at the most, they might deserve inclusion in an appendix. One editor compared a dissertation to an unfinished house: "The wiring and the plaster are showing -- the skeleton that shows that a committee helped build this house." In a

book, evidence of wiring and plaster must be eliminated.

Once a proper structure is in place, the author must rewrite the body of the dissertation. Some sentences may stand unchanged; others must be rewritten. The dissertation was written for a specific audience -- four or so Ph.D.s serving on the author's dissertation committee. A book is written for a much broader audience. "A dissertation written by a neophyte is defensively written," said Kate Wittenberg, associate executive editor of the Columbia University Press. "When you are writing the book, you are the expert. You are writing a definitive work."

One popular technique is to write a book for a specific reader. The writer should choose a real individual -- someone unfamiliar with the work -- who would want to read a book on the topic. The author should write directly to that reader by including the information this person needs to know and taking out the rest.

Miller Williams, director of the University of Arkansas Press, said a major impediment to dissertations is the language in which they are written. "Some of them are first turned in written in humanese. The author is then brow-beaten by the dissertation committee to turn it into dissertationese. It's deliberately made unpublishable," Williams said. "It is difficult to turn a dissertation back into humanese. It's like trying to balance an unbalanced martini -- you just have to pour it out and start over. It's hard to go back and rehumanize a dissertation without literally starting over." Williams gave as examples of dissertationese: "It was anger-provoking in him"

(meaning it made him mad) and "He was often met with mirth responses" (meaning people laughed at him a lot).

Editors said dissertation writers, particularly those in literary criticism, tend to engage in heavy use of the special language used in their particular discipline. Authors should recognize that the more narrowly written a manuscript, the more narrow the potential audience.

Editors said dissertations also are plagued by servility to convention which forbids the author from saying much of anything that is not substantiated by a footnote. In addition, writers may avoid stating a forthright fact through the use of what a former university press director called "the cowardly conditional." He said social scientists are the worst at it, thus (Armstrong, April 1972, p. 242):

All things else being equal, it would appear to be the case that, under given circumstances, it may not be uncommon for writers of dissertations to execute certain prose styles which those who seem to like their English straight and strong might conceivably call a perversion of the language.

Editors also criticized the rampant use of the passive voice, saying its popularity is rooted in the unsubstantiated notion that assertions in the passive voice appear more objective and more scholarly than those with an active verb.

Several editors suggested that authors on the verge of revising a dissertation should read such books as George Orwell's Politics of the English Language and E.B. White's Elements of Style before starting revisions. "Writing that is muddled and fuzzy," one editor said, "tells us the author's mind might be muddled and fuzzy."

Young scholars, in their haste to get a book in hand for a tenure committee, often rush their dissertations to a publishing house without giving enough thought to marketing their own work. Scholarly publishing consultants have arisen in recent years to provide manuscript marketing advice. Marjorie Sherwood and R. Miriam Brokaw, both former editors at the Princeton University Press, have formed a consulting service to help scholarly writers revise their dissertations for broader audiences. They also recommend the most appropriate presses for a scholar's work. "These faculty members are not being told by their advisers how they should shape their dissertations into book form," Brokaw said (McMillen, Feb. 5, 1986, p. 23). "The advisers are giving students an exercise in research. That doesn't mean it can be published." Elizabeth Shaw, formerly of the University of Arizona Press, also has established an editorial consulting service. "I'm sure there are exceptions," Shaw adds, "but I don't think many dissertation committees are terribly concerned with the potential interest of a dissertation beyond the committee."

Editors and consultants alike advise writers never to send an unrevised dissertation to a press unless an editor specifically asks to see it. Writers should send a query letter instead, perhaps with a table of contents and a sample chapter. The first chapter often is not the best one to send. Writers are under no obligation to tell an editor that the manuscript under discussion is a dissertation. But if writers do so, then the query letter should explain what revisions have been made or are anticipated. Suzanne Comer, humanities editor at

the University of Texas Press, said: "We get some really deadly query letters -- ones that start like this: 'I have recently completed my dissertation and I am writing to see if you would be interested in publishing it' or 'My committee has told me this is a publishable work so I am submitting it.' That's a killer beginning. It shows it hasn't been revised. If you just have to put in the fact that it's a dissertation, put it in the third paragraph and mention that it has been extensively revised. Someone's dissertation could be doomed on the basis of a poor query letter."

Titles and Other First Impressions

In the author's marketing of a scholarly monograph, the manuscript title contributes to that vital first impression in the acquisitions process. The author is expected to submit a manuscript with a working title atop it. "You breathe a sigh of relief when a manuscript comes in with a good title," said an editor of a West Coast university press.

In evaluating the appropriateness of a title, an editor asks two questions: Does it properly describe the book? And, will the title help sell the book? Many university press contracts now give the publisher final say in the matter of the book's title. As Bell (Feb. 1983, p. 159) said:

For obvious reasons, this is not an area in which one wants to strong-arm an author, and the overwhelming majority of disagreements over titles are resolved amicably by persuasion or compromise.

But there remain occasional authors who seem perversely bent on giving their books cryptic or previous titles that will, by any reasonable standard, greatly diminish whatever chance the publisher might have of publicizing and marketing the book effectively. It is to prevent such disasters that the contract was worded as it was. My advice here is to compromise if you can; but if every avenue of acceptable compromise is blocked, invoke the contract and give the book a title that will not drain blood from an honest sales manager's face.

A good title can sell a book. Loren Hoekzema of the Princeton University Press noted (April 1984, p. 254) that in 1956 Princeton published a work with the unwieldy title The Existence of Intangible Content in Architectonic Form Based upon the Practicality of Laotzu's Philosophy. It sold about 1,000 copies and went out of print. Yet despite its unmemorable title, the book had developed a small underground following, as it made connections between western culture and oriental mysticism. So Princeton reprinted the book, with the new title The Tao of Architecture, and sold more copies in its first four months than in its entire previous appearance.

The naming of books, although serious business, can be a point of humor in scholarly publishing. Professor Robert Darnton, who served on the Princeton University Press editorial committee, noted the tendency for authors to give their books broad titles, then stick in a colon and engage in wholesale reductionism. Darnton (1983, p. 535) explained, with tongue-in-cheek: "A title should operate like a funnel. Suck the reader in by announcing something grand in the main title, then squeeze him through the subtitle into a monograph."

As examples of Darnton's principle, these are titles of university press books published in the mid-1980s:

Sisters and Strangers: Women in the Shanghai Cotton Mills, 1919-1949 (Stanford University Press)

Representation and Revelation: Victorian Realism from Carlyle to Yeats (University of Missouri Press)

Monopoly's Moment: The Organization and Regulation of Canadian Utilities, 1830-1930 (Temple University Press)

No doubt, the tendency for alliteration has been noted. It's a popular titling technique, with p's being particularly popular:

The Politics of Provincialism: The Democratic Party in Transition, 1918-1932 (Harvard University Press)

Persuasions and Performances: The Play of Tropes in Culture (Indiana University Press)

Puritan Poets and Poetics: Seventeenth-Century American Poetry in Theory and Practice (Penn State University Press)

The subtitle usually is needed to tell the reader what the manuscript is about. Without a subtitle, the reader would be forced to guess as to the subject matter. Darnton remembered one manuscript received during his tenure that was simply labeled Mostly Chaos and another titled Trumpets Blown in the Empty Night. Darnton admits, though, to secret admiration for two professors who were quite direct in titling their works. The first was a physicist who called his manuscript Lecture Notes for Astrophysical Sciences 522; the second a biologist who called his manuscript The Nesting Behavior of Dung Beetles. Neither, Darnton was sorry to say, made it into print.

Some editors rebel against main titles so literary or poetic that the reader has no idea what the book is about. One former editor did a spoof on the possible meanings of one such title (Stainton, Jan. 1977, pp. 112-113):

Vision and Response: A Study in Optics

Vision and Response: The Perception by Rhesus Monkeys of
Color-Coded Commands

Vision and Response: The Mormon Trek Westward

Vision and Response: The Effects of Pinups on Healthy
Adolescent Males

Another manuscript marketing suggestion is for authors not to copyright their manuscript before sending it to a press. "It's offensive because it says, 'I don't want you to steal this book,'" a university press director said. "Look, publishing a book is like a marriage. We don't want to live with a person who is paranoid. It won't get stolen. If it's bad, we don't want it. If it's good, we want your next book, too. Besides, most publishers and magazines are honest anyway. So don't put a copyright on it. That'll kill you in a minute. It shouts 'Amateur!'"

Finally, the manuscript should be carefully prepared on a typewriter or letter-quality printer. Editors are not fond of the dot-matrix type since it is more difficult to read. The manuscript needs to be attractively presented, double-spaced on non-erasable paper with large margins for editing. Notes and bibliographies

need to show care. Everything is to be doublespaced, including textual quotes, footnotes and the bibliography. "It won't affect your acceptance or rejection," one press director said. He paused, then restarted. "We try to accept or reject a book on the importance of the manuscript to the field. Oh, the agony caused by prima donnas or ignoramuses. We can't help but be influenced by that."

Financing Scholarly Monographs

A university press not only must find scholarly monographs meriting publication, but it also must finance them. A university press may be a 'Non-Profit Org.' in the eyes of the U.S. Postal Service, but it cannot ignore economic realities.

University press directors must be part book-lover and part banker. Their presses, after all, seek to serve the life of the intellect -- undeniably an altruistic purpose. Yet for the intellect to be successfully served, business acumen is needed. Books are written to be read. Without a readership, books do not accomplish their purposes. So presses must sell the books they publish.

Some may consider this attention to the business function to be a form of the commercial publishing mentality. But show a commercial publisher the last 10 books published by any university press, and ask how many would have been published commercially, and the difference becomes obvious. A commercial publisher always can say 'no' to a manuscript on the basis that it is not likely to be profitable. Not so for university presses. The aim of university presses is to advance

knowledge, not to make a profit. If a manuscript is not accepted after an editor already has invited it in for consideration, the editor must convey a conclusion -- no matter how politely it is done -- that the book was unacceptable on grounds other than commercial (Davin, Jan. 1979, p. 123).

In university publishing, a tension continually exists between the scholarly and the business functions. What Robert T. King, then director of the University of South Carolina Press, wrote in 1970 still applies (p. 268):

The truth is that the university publisher can usually afford to lose a little money on the manuscript he accepts. Knowing how much he is likely to lose, and how much he can afford to lose, has to be part of his job. This does not mean that financial considerations dominate the university publisher's decision; it means that in the decision-making process the financial considerations will be inextricably tangled with the evangelistic ones, and neither will prevail alone.

The ideal of intellectual service and the reality of financial servitude are inexorably linked at university presses. "When looking at a manuscript, financial considerations are often uppermost," said Seetha Srinivasan, executive editor at the University Press of Mississippi. "I ask: 'Is it appropriate for our list? Can we combine an ad/promo campaign with similar titles?'" Her press once received a 300-page manuscript, accompanied by 85 photographs, on native son William Faulkner. The Mississippi Press publishes a lot of Faulkner studies. "It would have been a very expensive book to produce, with a limited audience," Srinivasan said. "But we didn't want to lose a

potential gem. So we sent it to outside reviewers. Our readers' reports were lukewarm. That clinched the decision. We rejected the manuscript." She added: "Financial considerations play a large role when a project looks expensive. We don't want 'brown mountains' in our warehouse."

Table 5.2 shows that responding university presses placed some importance on the promise of financial gain in the decision to publish. But they said other factors play considerably larger roles. Leading factors were whether the manuscript complemented the backlist, whether the author was a "name" in the field, and whether the author had a Ph.D. or terminal degree. The aspect of financial reward from publication ranked fourth on the list of eight factors given to university press directors. Of lesser importance to directors was whether the book could be used as a text in the classroom, whether the author previously had published a book, whether the book promised to be controversial, and whether the author was from an Ivy League or major school.

Several university press officials commented that these factors bear mostly on the initial decision whether to consider a manuscript, not on the final decision to publish since that decision rests with an editorial committee and is based on reader evaluations. On the profit statement, one editor changed it to "make back investment." Another added that his press has "complex financial requirements not expressed in terms of a profit; they lead to an index-numbered bottom line."

TABLE 5.2

Importance of Selected Factors in the Decision to Publish

Factors	Essential	Very Important	Somewhat Important	Not Important
Book complements the press' backlist	13	31	7	0
Author a 'name' in his/her field	1	23	21	5
Author has Ph.D. or terminal degree	2	21	12	14
Book promises to make a profit	4	7	29	9
Book could be used as college text	1	9	25	15
Author previously published a book	0	10	25	15
Book promises to be controversial	0	6	29	15
Author from Ivy League or major school	1	3	18	28

NOTE: Selective responses resulted in N's ranging from 49 to 51 on the items above. Assigning a "4" to essential, a "3" to very important, a "2" to somewhat important, and a "1" to not important, these become the cumulative results placed in rank-order of importance:

Book complements the press' backlist	3.12
Author a 'name' in his/her field	2.40
Author has Ph.D. or terminal degree	2.22
Book promises to make a profit	2.12
Book could be used as college text	1.92
Author previously published a book	1.90
Book promises to be controversial	1.82
Author from Ivy League or major school	1.54

The Search for Subsidies

University presses publish the most specialized of books, sell them to the narrowest of audiences, and somehow are expected to do this without financial calamity.

Presses frequently accomplish this magicianship by finding underwriters -- institutions, foundations or individuals willing to provide a financial subsidy for publication of a scholarly monograph not expected to pay its own way. The subsidy, often called a scholarly subvention, can come from any source except one: the author.

That used not to be the case. The Kerr Report of 1948 found that the costs of university publishing were paid by: 1. the consumer, 2. the author, 3. the university, and 4. the outside organization. The consumer paid the bulk of the bills by buying the books produced. The author subsidized scholarly publication by paying subventions and by working without remuneration. The university provided subsidies of its own such as free office space and staff salaries. The outside organization -- whether a learned society, foundation or research institute -- offered individual title support.

The most common source of title subsidies up into the 1950s was the author. The practice of having authors help pay the cost of publication was accepted, by authors and presses alike, as an essential element of scholarly publishing. Authors considered their "return" to be anticipated salary increases, promotions or tenure, and enhanced academic standing.

The practice of inviting, or even permitting, the author to help pay the costs of producing a book was eliminated in the 1950s and 1960s. If any university press still engages in the practice, it has kept quiet to avoid comparison to vanity presses. Interestingly, the Ford Foundation played a significant role in overturning this long-standing arrangement. The attitude of the foundations, according to former Duke University Press director Ashbel Brice (April 1974, p. 220), had been millions for research and not a penny for publication. But between 1956 and 1965, the Ford Foundation provided \$2,750,000 in grants for publication. These grants, together with matching funds supplied by the recipient universities, had a string attached. To avoid the "vanity press" syndrome, no money could be used to publish a book that the author had helped subsidize in any amount.

By the time the grants ended, university presses were in flush times. Library budgets were booming, thanks to federal government programs, and presses were expanding at unparalleled rates. University presses announced they would accept financial subsidies from any source except the author. But the flush times ended. As universities began budget-cutting in the 1970s, the concept that university presses should be self-supporting emerged. The word "crisis" became a byword among press directors. In an effort to eliminate money-losers, the scholarly monograph began to fall into disrepute because it was unable to pay its own way.

Since then, with publication costs high and the outlook for break-even sales low, university presses have turned with increasing

vigor to other sources for help in publishing monographs. A key source is the home university of the author. A 1983 survey by a Columbia University Press editor found that 7 percent of 70 responding English and Romance language departments at selected universities said their institutions "frequently" provide subsidies to support publication of books by home faculty. Another 49 percent responded "occasionally." The remainder said subsidies, to their knowledge, were not available from the home institution. Subsidies were more common among private universities than state-supported ones (Germano, Oct. 1983).

Edward Berman, education professor at the University of Louisville, served as chairman of his university's Academic Publications Committee, which has a fund available to subsidize scholarly works that have been successfully refereed but require financial assistance to publish. The committee served as his introduction to the world of scholarly publishing subventions. He was shocked to learn that scholarly journals in some disciplines will not publish an article until the author has arranged payment either from the author's institution or from the author's own pocket. Berman wrote of this pay-to-be-published policy (July 1985, p. 308):

I was rather unsophisticated and reacted with incredulity on learning that some colleagues -- especially those in the physical and natural sciences, mathematics, and psychology -- had to pay to see the results of their research in print. It seemed outrageous that someone who had spent time and effort in undertaking decent research should be subjected to the ignominy of having to pay to share that information with professional colleagues.

Berman's committee handled subvention requests for journal publication amounting to \$900 on one occasion, \$1,200 on another, and \$1,340 for a third. He said the message going out to scholars is that they better publish to gain tenure and promotion. But if they publish, there is a good chance they will have to arrange for payment, too. Berman said it probably is only a matter of time before journals in the 'soft' sciences and humanities follow the lead of those in the 'hard' and behavioral sciences and begin charging fees to publish. Berman's committee also provided a \$6,000 book subsidy to one university press and an \$8,500 subsidy to another on behalf of faculty members whose book manuscripts had been accepted for publication, subject to obtaining a subvention.

University press directors said they try to be careful to separate the editorial process from the financial process. One director said his press never asks for or accepts a subsidy prior to approval by the editorial committee. The press doesn't want financing to appear to influence the editorial decision. An East Coast editor commented: "Beware of authors who come in talking of \$3,000 subsidies from their home university. He's probably offered the same money everywhere else." A Southern editor said his press occasionally accepts a manuscript conditional on obtaining a subsidy, but added: "Our press takes the initiative of finding a subsidy because we don't want anyone thinking the author is buying us."

Presses may ask the author to be an active partner in the subsidy search, but they usually don't ask the author to be solely responsible

for obtaining a subsidy. For instance, one author first learned of the need for a subsidy in a letter of manuscript acceptance from a newer university press. The letter said in part:

Our press prefers to maintain high editorial, design and production standards while holding the line as much as possible on the price of our books. Obviously, we must have help to do this. We feel strongly that institutions with which scholars are affiliated have a stake in the survival of university press publishing. So we ask authors to investigate the possibility of securing a title subsidy from their institutions. For this book, we would like to secure a subvention of \$2,500.

We want to publish your book, and we will almost certainly find a way to do so, even if we have to uncover some unknown fund of our own to come up with the capital. But we rely on your good faith effort to pursue aggressively any possibilities in this regard. If we can be of any assistance -- by writing letters or making phone calls commenting on the quality of your work and/or further justifying our need for such a subsidy -- please let us know.

The press went ahead and sent a signed contract a few weeks later, assuring publication no matter what the outcome of the author's search for a subsidy. Other presses, though, will delay sending a contract until financing is secured.

Financial considerations occasionally play a role in the editorial committee's decision-making process. At one press, the business and production staffs compute a manuscript's costs and expected income once the editors and outside reviewers agree it is worthy of publication. That analysis goes to the board along with the readers' evaluations. If the board decides a book is too costly, it can make publication contingent on an outside subsidy.

Subsidies can come from the author's home university, a foundation, a learned society or even an individual. "There are people I can call, if I don't call too often," said Matthew Hodgson, director of the University of North Carolina Press (Williams, Oct. 18, 1981, p. 30). "I'll do that particularly for a young person's book. I get on the phone, say, to a lawyer in a small town, who is doing well, and say, 'How are you, how's your tax situation?' Usually by then, the response is, 'How much do you want?'"

Subsidies are sought for two kinds of books: those believed to have extremely limited audiences and those with extremely high production costs. University press officials are in agreement that books with extremely high production costs deserve subsidies. These include expensive series of personal papers or books containing a lot of photography, architectural drawings or special design techniques. But there is amiable disagreement about the validity of seeking financial backing for traditional scholarly monographs that appeal to small, specialized audiences.

In a panel debate at an Association of American University Presses convention, Indiana University Press director John Gallman said of this latter category: "Books that require subsidy are not worth publishing." He said the mission of a publisher is to publish books, not beg for money. Books that are marginal economically are marginal intellectually, he said, and the author would be well advised to write an expanded journal article rather than a book. With the time saved by not looking for subsidies, Gallman said editors could

concentrate their efforts on looking for good books. But J.G. Goellner, director of the Johns Hopkins University Press, said the paramount reason for the university press is to publish monographs. He said such publishing is impossible without title subsidies. Goellner said scholarly publishing gets support in a variety of ways, such as authors' waiving of royalties, authors' submission of machine-readable manuscripts, free office space, annual operating subsidies from the parent institution, and endowment income. He said it is not unreasonable to expect the author's home institution to assist in financing publication of a book not expected to recover its publishing costs (Reuter, et al., July 30, 1982, pp. 36-37).

Every university press is subsidized in one way or another. Besides reduced book rates and other government subsidies, the parent institution typically provides hidden subsidies -- free office and warehouse space, free custodial service, free utilities, and sometimes even university-paid salaries. In a survey of administrators at institutions with university presses, John Corson found (Jan. 1978, p. 112) that 47 of 51 university presses are provided some form of hidden subsidy without charge. The four presses that received no hidden subsidy were all at private universities. Even those few university presses that operate as independent entities still benefit from the constant availability of its faculty editorial board and other university scholars as consultants. An invisible subsidy also exists through the automatic purchase of books by many libraries.

University press officials said little has changed in the 1980s.

A Southern press director said his university guarantees free office space and more than a quarter of a million dollars in staff salaries a year. Book sales amounting to slightly more than \$500,000 cover the press' operating budget. Another director said his press generates sales to cover 68 percent of its operating budget; the rest must come through subsidies. At major presses, the financial expectations are higher. At the University of Chicago, the press is advanced money each year for operating expenses but must pay the university back with interest.

University presses also are pursuing outside endowments to provide subventions for numerous books. The Harvard University Press has an endowed fund called the Belknap Press. More presses are looking for such support outside the traditional university budgetary channels. The University of California Press received a \$250,000 grant from the National Endowment for the Humanities, which must be matched on a three-to-one basis with other contributions. The Ahmanson Foundation has provided \$200,000 of that matching fund to support publication of art books. Other publishing categories for which the press has established separate endowed programs include translations, Asian studies, music, Judaica, and the classics. The California Press also invites donors to help finance the publication of specific titles, and for doing so -- with a subsidy of \$1,000 or more -- contributors will be thanked by name in the books they support (Give & Take, March 4, 1987, p. 24).

When universities face budget constraints, pressure often is

placed on university presses to become more self-sufficient. Datus Smith, former director of the Princeton University Press, noted with displeasure (April 1975, p. 202):

It is one of the great ironies in university affairs that it is precisely because university presses are successful in getting other institutions and the general public to pick up a major part of their operating cost through subsidies and sales income that the administrators seem surprised and resentful about whatever remaining balance they are asked to help defray. I often wonder if university presses might not get on better with the administrators if they were more like the Department of Philosophy, say, in having no directly identifiable income of their own. The university is quite reconciled to the fact that student tuition pays only a fraction of the cost of undergraduate education, and there is no bitterness about picking up assured departmental deficits, no shaking an accusing finger at department chairmen. Yet whenever it appears that the press director may be having trouble in raising from outside sources the total amount of his press's costs, there is a great clucking of tongues and an implication that the university administration has been betrayed.

If communication is in fact an essential element in the research process, it is utterly unrealistic for a university to pretend that publication is a frill instead of a basic part of the research enterprise. And, in dealing with specific cases, it is inexcusable for a university to accept responsibility and grant funds for a scholarly project without thinking through to the end and considering how communication of the results of that research is to be financed.

Marketing the Scholarly Monograph

Like any business, university presses need money coming in to approximate the amount going out. Editors insist they need not adopt the marketplace mentality of the commercial publisher. Yet scholarly publishers also cannot be completely oblivious to sales.

A few university presses have developed multi-tiered lists to categorize books based on their commercial potential. The "C" books are monographs not expected to pay their own way. The "B" books are expected to break even. The "A" books are expected to be financial successes and counterbalance the money losers. Walter Powell, in his study of scholarly publishing, wrote (1985, pp. 177-178):

These different categories of books receive dissimilar marketing attention. Obviously, in each season a university press will have to balance its mix of books. If a list needs to be cut back, a press may postpone some of the Cs. Another way of dealing with this problem, and of avoiding postponements, is for editors to defer making final decisions on C manuscripts. The rationale behind such a move is certainly reasonable; but ... it is incumbent on university presses to explain to their C authors -- who are typically young and inexperienced -- why a postponement or deferral is necessary.

The market for scholarly monographs has plummeted in recent years. Sheldon Meyer, executive editor of the Oxford University Press operation in New York, said a print run of 3,000 copies once was common; now the typical print run is 1,500. Others said their first printings of monographs have dropped from the 2,000 range to 1,000. Almost all editors said they have cut their print runs on scholarly monographs by 40 to 50 percent since the 1960s. This decline in print-run size occurred in conjunction with library budget cuts and rising production costs, particularly in the inflation years of the 1970s. With unit sales going down, book prices went up as presses sought to break even.

Editorial expense actually is one of the smaller costs of

publishing a book. The largest cost is production. No matter how few the number of copies printed, publishers face significant "first costs" of production -- typesetting, proofing corrections, the press run, binding, and so on. In a desire for permanency of their books, scholarly presses also have gone to the more expensive acid-free paper rather than the acidic wood pulp that turns yellow and brittle in time.

One way to keep production costs manageable is to publish camera-ready copy. This is an accepted publishing procedure in the hard sciences, particularly for books containing technical matter. These books lack elegance, but the objective in science publishing is to share information quickly before it becomes outdated. Scientists, more than scholars in the humanities and social sciences, build on the work of others. Camera-ready copy is the most inexpensive method for rapid publication.

But camera-ready publication has yet to become a respected form of printing for traditional scholarly books. An Ivy League editor said his press publishes arcane language books and a few Chinese literature books under camera-ready stipulations with authors. This keeps such books costing \$34 instead of \$100. But he added: "I don't think American historians, for one, would be interested in this. There is a certain standard of elegance that we all demand in a book."

Determining the costs of publishing is not that difficult. One standard formula to determine production costs is to multiply one-half of the net book price times the number of the first print run.

Publishers manipulate the figures until an acceptable balance is reached. Yet while production costs can be specified rather clearly, it is difficult to forecast the amount of income a book is likely to return since that depends on how the public responds. For highly specialized books, a publisher can form a fairly accurate conception of the potential market, based on sales figures for similar monographs. The broader the intended audience, however, the more difficult it becomes to predict public response.

One reliable purchaser through the years has been libraries. They account for more than a third of all university press sales. Some libraries buy directly from scholarly presses, but many go through specialized wholesalers called vendors. Libraries have standing orders for university press titles on an approval basis. Each library has a "profile" on record with its vendors. A library might specify that it wants all titles available in film studies, speech communication and Latin American history, but not titles in photography, architecture and folklore. Theoretically, the profile fits the university's educational mission. The library at a university with a law school but no medical school might automatically order all titles dealing with the law but not those in human medicine. Or a library may specify that it does not want to receive textbooks. Vendors ship books fitting the library's profile. Librarians look through the shipments, cataloging those they will keep and returning any titles not of interest. The result is that an academic library in Florida might retain all titles published by the University of Washington Press, except for a

provincial one such as Washington Public Shore Guide, and a library in New Hampshire might retain all books published by the University of Pittsburgh Press except for local-oriented ones such as Discovering Pittsburgh's Sculpture.

Libraries use vendors for two reasons. First, vendors are more convenient than dealing individually with hundreds of presses. Vendors handle the titles of not just university presses, but commercial publishers as well. Second, libraries receive a discount on most titles purchased through vendors. Unlike scholarly journals, which often have higher prices for libraries and institutions than for individual subscribers, scholarly books usually are offered to libraries at a discount. This discount typically is 10 to 12 percent off the net sale price available to an individual buyer.

But increasingly, titles that once would have been a standard purchase for a multitude of libraries are not being bought. Library budget crises have resulted in more selectivity. Several university press directors said they used to be able to count on selling at least 800 copies to U.S. libraries. Now, the figure is more like 600 -- and dropping. Editors report that some authors of scholarly monographs typically will say 'Every library will have to have a copy.' But that no longer is taken for granted, especially now that interlibrary loans have become more common.

University press also have encountered a buyer's resistance among scholars who once bought books for their professional use and for private collections. Books once were considered an essential product

for scholars; for many, books now have become a discretionary item because prices are so high. Concern about the price of university press books is pervasive. As one scholar put it, he and his colleagues are suffering from "sticker shock" at a time when faculty salaries have not kept pace with the economy.

To attract individual book buyers unwilling to pay \$29.95 for a cloth-bound monograph, university presses are publishing more paperbacks priced at \$15 or less. Scholarly paperbacks have been around since the mid 1950s, when the Indiana University Press put out paperback editions of such works as Rolfe Humphries translation of Ovid's The Art of Love (Grannis, 1984, p. 7). But the 1970s and 1980s have seen a visible proliferation of paperback editions. Many presses now release cloth and paperback editions simultaneously -- the higher-priced and more-permanent cloth editions for libraries and the lower-priced paperbacks for individual buyers. The goal is to make specialized monographs affordable to scholars.

University presses have become more aggressive in seeking potential buyers. They are advertising in publications such as the New York Review of Books, the New York Times Book Review, specialty journals and academic convention brochures. They send promotional news releases, along with free copies of the book, to newspapers, magazines, journals and others that might review the book. They have sales representatives visit bookstores, offering discounts ranging up to 48 percent for bulk purchases. They send direct-mail brochures to thousands of scholars.

The grouping of related titles in direct-mail advertising brochures has become a vital promotional component in scholarly bookselling. It is a common practice to rent mailing lists for one-time use. For instance, in the mid-1980s, the mailing list of the Civil War Book Exchange provides 5,000 names for \$400 and the Modern Language Association mailing list of 8,600 names is available for \$720. With a direct-mail service, brochures plugging a specialized list can be sent to those known to be interested in the field. The brochure emphasizes the latest books published in the field and names backlist titles of related interest. This is an effective way to keep the backlist titles before their intended audience. Direct mailings frequently offer discounts of 20 percent or more off the retail price. A return rate of 3 percent is considered good and more than pays for the mailing of a brochure at bulk rates to thousands of scholars.

Unlike commercial publishers who print a book, expect immediate sales and then let the book lapse out of print, scholarly publishers depend on continuing sales over several years. University press directors said they plan print runs based on selling about 60 percent of a first printing in the first year, 20 percent the second year, and 10 percent the third year. Of course, if all of a first printing sells in the first year, so much the better. A second printing of the monograph will likely be ordered. But if only 30 percent of a first printing sells the first year, the press may be looking at a long-term 'brown mountain' in the warehouse. To keep the book selling on the backlist that second and third year, a press uses direct-mail

brochures to promote its new titles in the field and then mention these complementary backlist titles as well.

University presses also have started to adopt the "big sale" mentality of commercialism. In early 1987, a group of university presses offered a combined book bonanza to raise money, reduce inventory and display their books to people who might otherwise not know of their existence. In catalogs sent to hundreds of thousands of potential customers, the presses operated 24-hour toll-free ordering services and offered big discounts. Conceived by the Columbia Press, the "University Press Books in America" sale featured titles at savings of up to 90 percent. Twenty-five university presses participated in the 1987 sale, ranging from the state presses of Missouri and Massachusetts to the private-university presses at Duke and Notre Dame.

Not all university press officials are pleased about such sales, including some who themselves occasionally run them. "We have done them to generate cash flow when we've been strapped, but discounts demean the value of our product," said Donald Ellegood, director of the University of Washington Press. "What we do by having such sales is condition our major customers, libraries and scholars to wait until they can get our books at discount a year or so after publication." Gail Treadwell, marketing director of Harvard University Press, which rarely holds big book sales, expressed similar sentiments. "I've always felt you don't want to sell off your books at less than value,"

she said. "If you plan and print properly, you shouldn't have a lot of excess stock to sell off in a sale."

But major presses can bring in more than a quarter of a million dollars through periodic sales. Cornell's 1983 sale grossed more than \$340,000, according to Cynthia Gration, the press' advertising and promotion manager. Its 1986 sale featured more than 700 titles. To publicize it, the Cornell Press sent out 500,000 notices to names on its own lists and on some 35 other lists that the press rented (McDowell, Jan. 4, 1987, p. 11D).

Authors have a vested interest in seeing their books sell. Not only does it disseminate their work, but it also frequently reimburses them through royalties for the work they put into the book. The standard royalty rate is 10 percent of the book's selling price. Newer and smaller university presses, though, often stipulate no royalties on the first printing, especially on monographs not expected to pay their own way. The belief remains that scholars will benefit from publication through promotion and recognition, thus they should not expect financial remuneration as well, particularly when the press itself is not expected to make money on the publication. But the larger and established university presses recognize that, in the competition for quality manuscripts, author royalties have become a contractual expectation.

The publication of scholarly monographs has been the mission of university presses from the start. But editors must remain aware of the financial consequences of a list too full of scholarly monographs

on narrow topics and with limited appeals. This awareness may not control the editorial process, but it certainly pervades it.

An oft-cited aphorism to describe the adventuresome task of finding and financing scholarly monographs was coined in 1947 by Tom Wilson, former director of the Harvard University Press. Wilson said (Clark, 1979, p. 38): "The university press publisher has as his objective the publishing of the maximum number of good books this side of bankruptcy."

CHAPTER 6

TRADE BOOKS AND THE EXPANDING TITLE MIX

Select the book published by a university press rather than by a commercial publisher or small regional house:

- (a) a scholarly monograph titled The Romantic Sublime: Studies in the Structure and Psychology of Transcendence
- (b) a trade book written by an American military officer titled The Army and Vietnam
- (c) a regional photo book with the name The Lighthouses of the Chesapeake
- (d) a book of fiction with the title Alice and the Space Telescope

A person who selected (a) would be correct. University presses are recognized primarily as publishers of scholarly monographs that appeal to narrow, specialized, academic audiences. As a contribution to literary criticism, The Romantic Sublime combines a historical study of the sublime with the concerns of psychoanalytic criticism and of structuralist and semiotic theory. It develops a model of transcendence built around a set of dialectical oppositions between the metaphorical sublime of Kant and Burke and the egotistical and metonymical sublime of Wordsworth, Keats and Shelley. Although few persons other than literary scholars may be able to relate to the thesis, the book showed enough popularity in academe's literary circles to merit new release in paperback form in 1986.

But a person who selected (b) also would have been correct. University presses increasingly are publishing serious trade books by those both within and outside the academy. Written by a Pentagon strategist, The Army and Vietnam contends the Army's failure in Vietnam lay in the incorrect assumption that it could transplant to Indochina the operational methods that had been successful in World War II.

A person who selected (c) would have been correct as well. Many university presses believe in publishing regional titles with appeal in their own geographic areas. The Lighthouses of the Chesapeake is an award-winning book containing 170 photographs documenting each of the 32 lighthouses still standing along the Chesapeake Bay shoreline.

Finally, a person who selected (d) would have been correct, too. University presses have begun publishing a type of fiction that requires an intellectual reading. For instance, Alice and the Space Telescope is a fantasy journey through the wonderland of modern astronomy. The novel, written by the director of the Royal Observatory in Edinburgh, Scotland, features the Lewis Carroll characters of Alice, the Mad Hatter and the Cheshire Cat. The book is based on the most extraordinary "looking glass" ever designed -- the Hubble Space Telescope to be deployed on a future space shuttle flight. By scanning the cosmos from above the distorting effects of Earth's atmosphere, astronomers will be able to see seven times farther than at present. Half of the book is an adventure story; the other half is an explanation of astronomy for the lay reader.

What makes this multiple-choice answer even more fascinating is that all four of these titles were published by the same university press -- the Johns Hopkins University Press, which is the oldest continuously operating university press in the United States. Furthermore, all four titles were prominently featured in the same Spring 1986 catalog.

The Johns Hopkins University Press, best known for publishing in medicine, is not that unusual in having such a broad mixture of titles. Deviations from purest scholarship -- the traditional scholarly monograph -- have become more conspicuous in university press list-building in recent years. Presses are widening their title mix by introducing trade books, regional titles, photo collections, and adding books with the potential for classroom use.

William A. Wood, assistant director of the University of Minnesota Press, said of this deviation from purest scholarship (Oct. 1982, p. 32):

Like everyone else, we find the traditional monograph an endangered species, and so we seek textbooks and reference books and trade books for the larger and sustaining audiences they will find. A few years ago, 70 percent or more of the titles we published were classified by us as monographs; now we run closer to 50 percent.

University press officials acknowledge that non-monographic titles have an appeal because they often have the potential to help recoup the financial losses sustained by monographs. But the widening of the title mix should not be reduced to a pure financial decision.

Officials contend the expanding title mix serves the life of the intellect by filling voids created by the obsession for best-sellers among commercial publishers. Since certain non-monographic works no longer have an appeal to commercial publishers, these works -- be they trade books, regional studies, fiction or poetry -- might well go unpublished if university presses did not fill the void. So, again, a mixture of altruistic and financial considerations are at play in deviations from purest scholarship.

Trade Books for the Non-Specialist

Trade books differ from scholarly monographs in both content and writing style. While monographs purposely are on narrow subjects and are aimed at the specialist, trade books are on subjects of broader interest and are aimed at the non-specialist. Trade books are designed to be read by persons without advanced knowledge in a subject.

John Ryden, director of the Yale University Press, defines a trade book as "a work which meets all the appropriate standards but which, because of its import and the skills with which it is written, is of interest to more than the specialist in the field, more than the author's colleagues" (Pace, July 10, 1979, p. 45).

For instance, Harvard University Press published Untangling the Income Tax in 1986. Rather than being just for economists, the book is billed by the press as "highly readable" and "non-technical" in its description of how tax laws affect the real sharing of tax burdens and the performance of the economy. The author is a Princeton University

professor who served in the Treasury Department during the Ford administration.

Table 6.1 shows a considerable difference of opinion concerning the place of trade books in scholarly publishing. Ten of the 51 responding presses estimated that trade books comprised less than 10 percent of their 1985 new titles, referred to as the front list. Yet the same number of presses said trade books comprised 40 percent or more of their front lists. By converting the individual percentage estimates into actual numbers of titles and then compiling an overall average, the responding presses collectively estimated that about 24 percent of their new titles were categorized as trade books.

TABLE 6.1

Estimate of Percentage of Trade Books in the Front List

Percentage Ranges	No. of Presses (N=51)
Fewer than 10 percent	10
10 to 19 percent	16
20 to 29 percent	9
30 to 39 percent	6
40 to 49 percent	4
50 percent or more	6

NOTE: These ranges were not specified in the questionnaire. The open-ended responses have been grouped for ease of comparison.

One dilemma is that no definitive demarcation exists between scholarly monographs and trade books. The marketing staffs at some presses encourage frequent use of the trade designation because it allows them to offer larger discounts as inducements to bookstores. Other presses shun the trade designation on titles because they see it as at odds with their mission to publish scholarly works. In addition, some presses designate a title as a trade book if it is published simultaneously in cloth and paper, with the cloth edition sold primarily to libraries and the paper edition sold primarily to individuals.

The debate over the appropriateness of trade publishing was evident in the written comments of university press officials who responded to the survey. One director, who said trade books accounted for a mere 2 percent of his press' new titles, wrote: "We do not consider ourselves a 'trade' publisher. We feel university presses that consider themselves such are not really scholarly publishers and should incorporate and not be associated with a university."

Another director responded: "We feel that most university presses are not really completely involved in the publication of scholarship, but that they view themselves as 'trade' publishers who must publish trade and regional books in order to 'make a profit' so as not to anger their university controller/business manager. We feel that the real business of a university press is to publish books and journals that are contributions to further research and scholarship and are thus a great benefit to higher education throughout the world."

But another director responded: "University presses can no longer afford to publish monographs so specialized that they cannot reach an audience of at least 1,000. There are other outlets for such studies. We must continue to publish books of real scholarship, but we need to reach also into the gray area that once was a marginal trade market for commercial houses -- to do books that are thoughtful, where the scholarship has been digested and is evidenced in clarity rather than in footnotes -- on important national and international issues."

J.G. Goellner, director of the Johns Hopkins University Press, does not believe that university presses are on the verge of becoming true trade publishers. He wrote (1978, p. 1698):

University press people have always referred to their 'trade books,' but for the most part that term has merely designated books sold to dealers at larger discounts in the hope that the dealers will purchase copies for stocking and displaying on their shelves. I do not believe university presses are equipped to do real trade publishing consistently.

What a university press considers a trade book is far different from the definition by the large New York commercial trade publisher. A trade book in New York may mean a book by an actress who believes in reincarnation, or a book on the sex habits of Americans as based on self-selected interviews, or a book by a business consultant on how to maintain power within the corporate world. University presses do not publish "trade books" of that genre. The trade books published by university presses and the smaller specialized houses are of a more serious nature.

In recent years, the New York commercial trade publishers have virtually abandoned the serious nonfiction book because it typically has a low profit ratio. The key to making a profit in commercial trade publishing today is subsidiary rights -- book clubs, mass market paperbacks, television spin-offs and other media tie-ins. If a serious trade book does not have strong potential for mass sales or for subsidiary rights, then it likely will not be considered worth the big trade publisher's effort. New York trade publishing has become captive to the best-seller.

But the serious trade book, with anticipated sales perhaps no higher than 1,000 copies, is attractive to both university presses that operate with no profit expectation and to the growing number of smaller specialized publishers now scattered across the United States that often use camera-ready printing techniques. Such trade books not only are financially feasible, but the books are considered highly valuable to society because they are written with the aim of communicating with the general public. Sociologist Walter W. Powell wrote (Oct. 1982, p. 10):

Changes in the structure of trade publishing have created new opportunities. University presses and commercial scholarly houses are moving into the territory the larger trade houses have vacated in their quest for blockbusters. As trade publishers have increased expectations of the number of copies a book needs to sell in order to be deemed successful, they have become less willing to take on books that are eminently worthwhile but have modest sales potential.

The serious trade book has become enticingly attractive for

university presses. Not only do trade books typically sell better than scholarly monographs, but they provide greater visibility for a publishing program since book reviewers emphasize titles that might appeal to the general reading public. One result is that the vehicle for serious, non-monographic fare is gravitating from New York City to such cities as Baton Rouge, Minneapolis, Chapel Hill, Ann Arbor and Berkeley. An implication of this emerging shift is a broader geographic view of the interests of the reading public.

General, Topical and Regional Books

Most university press books that carry the trade designation can be grouped in one of three categories: general-interest scholarship, topical studies, or regional titles.

General-interest trade books typically have the traditional scholarly apparatus but appeal to more than specialists in a field. These books, because of their broader appeal, could easily find a place on a bookstore shelf. For instance, the Columbia University Press published How to Deep-Freeze a Mammoth, a collection of light-hearted essays that examines the extinction of dinosaurs, the history of the Mediterranean Sea, the origin of birds, the theory of the continental drift, and the discovery of the Piltdown Man fossil forgery that fooled scientists for more than 40 years. And, true to its title, the book offers a humorous recipe for freezing a mammoth. The Columbia Press calls it a book "written for the lay reader." The author is a professor of paleontology at the University of Helsinki.

Trade books, by nature, are on topics that interest a broad group of readers. Few outside the academy may appear interested in an analysis of Keats or in peasant protests in feudal Japan, but a considerable number are interested in such topics as alcoholism, the Peace Corps and Christmas. Becoming Alcoholic: Alcoholics Anonymous and the Reality of Alcoholism (Southern Illinois University Press), written by a sociologist, contends that AA affiliation parallels religious conversion because reformed drinkers embrace a radical lifestyle change similar to the world of the convert. The Bold Experiment: JFK's Peace Corps (University of Notre Dame Press), written by a World Bank staff member, is based on hundreds of interviews with volunteers and on newly declassified documents at the JFK Memorial Library and the Peace Corps library and archives. The Making of the Modern Christmas (University of Georgia Press), written by two British historians, chronicles the history and rituals of Christmas from the mid-winter Saturnalia of pre-Christian Europe to the present day. All take a scholarly approach to a popular topic.

Trade books published by university presses seek to merge the scholarly care given the monograph with the non-technical prose needed to appeal to a general audience. This can create an awkward federation, which is why some in scholarly publishing believe trade books fall outside the university press mandate. For instance, Love and Love Sickness: The Science of Sex, Gender Difference and Pair-bonding, published by the Johns Hopkins University Press, is like two books in one: part of it being too technical for a lay readership to comprehend

and another part of it being a highly opinionated polemic with little scientific support. This combination of monographic specificity and trade book generalizations drove a reviewer for The New York Times to call the book "profoundly disagreeable to read because of its overuse of jargon, its disorganization and its pretentiousness." The review added: "It is simply astonishing that this book is published by a university press." Of the author, the review said (Adelson, Aug. 10, 1980, p. 13):

John Money is a well-known medical psychologist, a professor at Johns Hopkins, the author or editor of 14 books and an important contributor to the understanding of hormonal anomalies in sexual behavior and gender differentiation. That is the good John Money. There is also the bad John Money, who fancies himself a philosopher of sexual conduct (or a 'sexosopher,' to employ one of the several neologisms he has invented), a scourge of the church, a staunch foe of the 'sexual dictatorship' of our time and the author of some of the wildest generalizations seen since the heyday of Charles Reich. In his new book, the bad Money drives out the good Money. The scientist is at first edged out, then rudely shoved aside by the zealot, so much so that ... one begins to entertain serious doubts about the goodness of the good Money, that is, about the merits of the scientific work itself.

University press trade books, though, aren't always destined for such controversy. Trade titles range from Modern Winemaking (Cornell University Press) to Fund-Raising: The Guide to Raising Money from Private Sources (University of Oklahoma Press) to a book on protest singers titled Guerilla Minstrels: John Lennon, Joe Hill, Woody Guthrie, and Bob Dylan (University of Tennessee Press). These three books all happened to have been written by scholars with a Ph.D.

But, unlike scholarly monographs which are written almost exclusively by those within the academy, a number of trade books come from persons outside the academy. The Teacher Rebellion (Howard University Press), written by a three-term president of the American Federation of Teachers, details the story of union building and teacher activism in the public schools and provides glimpses of behind-the-scenes strategy sessions. Once They Were Eagles: The Men of the Black Sheep Squadron (University Press of Kentucky) was written by a retired Marine Corps colonel who served as the intelligence officer of what became the most famous aerial combat squadron in World War II. Although such works do not fall within the definition of pure scholarship, they do represent contributions to knowledge by offering scholars insight into the early years of collective bargaining and the wartime years in the Pacific.

Topical studies represent another genre of university press trade books. These are books written and published in relation to an event or issue of some timeliness. An acquisitions editor gave this illustration: "A book on Iran at the time of the American hostage crisis would be a trade book. A book published now on the history of Iran would be a scholarly book." Writing style is another key determinant in whether a book represents a topical study.

In 1983, Duke University Press published Afghanistan and the Soviet Union that outlined the significance of the Soviet Union's 1979 invasion of its southern neighbor. The author, Henry S. Bradsher, was an Associated Press correspondent in Afghanistan and also served in

the 1960s as AP bureau chief in Moscow. He wrote the book while serving as a guest scholar at the Kennan Institute for Advanced Russian Studies of the Smithsonian Institution's Wilson Center. His manuscript was turned down by the first university press that considered it. "We published it," Duke director Richard Rowson said, "because the subject was topical and we thought it would remain so." Sure enough, with the Soviet occupation of Afghanistan continuing, the Duke Press published a new and expanded version in paperback two years later. But says Rowson: "We go low-key on trade books because we don't want to undermine our basic scholarly mission."

The Indiana University Press published Bitburg in Moral and Political Perspective within one year of President Reagan's controversial 1985 visit to the cemetery in Bitburg where Nazis are buried. The edited volume includes a chronology of events, a selection of news accounts and cartoons and photographs, the speeches of Reagan and others. The book covers Germany's struggle with its Nazi past, the importance of symbols in politics, the moral concept of reconciliation, and the failure of historical memory in both Germany and the United States. The editor, Geoffrey Hartman, professor of English at Yale University, wrote in the Introduction:

The theme of memory haunts us increasingly. As events 'pass into history,' and they seem to do so more quickly than ever, are they forgotten by all except specialists? 'Passing into history' would then be a euphemism for oblivion, though not obliteration. That something is retrievable in the archives of a library may even help us to tolerate the speedy displacement of one news item by another.

The recent rise of prominent black politicians has spawned scholarly studies of a topical nature. Chicago Divided: The Making of a Black Mayor (Northern Illinois University Press), written by a professor of history and political science, chronicles the 1983 election of Harold Washington. The Jesse Jackson Phenomenon (Yale University Press), written by an assistant professor of political science and Afro-American studies, argues that Jackson's 1984 campaign for president hurt rather than helped to develop a viable black political movement in the United States.

The 138-page book on Jesse Jackson was published as a Yale Fastback. These are shorter books that are published speedily, in cloth and paper simultaneously, because of their timely nature. University presses are known for a slow, deliberative process. Even upon editorial acceptance, it can take a year or so before a book is published. This works against the publication of topical studies. So, for timely studies, Yale has a speed-up process.

One of the best-known achievements of the Fastback series came in 1974 when the nation was aswirl with talk of President Nixon's Watergate troubles. A Yale Law School professor, Charles L. Black Jr., proposed to the press a short handbook on the impeachment process. Yale's Committee on Publications just happened to be meeting within a few days, and the committee gave the go-ahead. The manuscript was drafted in three days. Five weeks later, an 80-page Impeachment: A Handbook was printed and bound. By good fortune, the American Booksellers Association was holding its annual convention in

Washington, D.C., the following weekend. The Yale sales force took advance orders for 5,000 copies of Impeachment in a couple of days. Another 8,000 advance orders came in before publication. By the time Nixon resigned, a total of 35,000 paperbacks were in print (Isay, Oct. 1974, pp. 81-85).

Black's handbook simply explained the process of impeachment without taking an advocacy stance. But a number of topical trade books today blur the distinction between scholarship and opinion. Another Yale Fastback is The Long Darkness: Psychological and Moral Perspectives on Nuclear Winter. The book, published in 1986, consists of essays by Carl Sagan, Stephen Jay Gould, Henry Steele Commager and six others. The Yale Press describes the authors as "some of the most articulate and respected opponents of the escalating arms race."

Regional titles represent a third genre of non-monographic books published with frequency by university presses. Regional books appeal to individuals who live or have an interest in a specific geographic area.

"We can't fill the insatiable desire of people to read about themselves," said Ann Haugland, sales and publicity manager of the University of Minnesota Press (Grannis and Mutter, July 29, 1983, p. 25). One Minnesota Press title that has evoked strong regional interest is Where We Live, a detailed geographic study of the Minneapolis-St. Paul area. Although the book takes an academic approach -- for instance, it uses the term 'residential zone' instead

of 'neighborhood' -- Haugland said it has been popular among residents of the Twin Cities.

A buyer for the B. Dalton Booksellers chain considers a regional title to be "a crossbreed" between trade books and monographs since regional books are written in a trade style yet are specialized like a monograph in their marketability (Blakely, April 1981, p. 269):

If a non-fiction trade book is an attractive, informative and interestingly written volume likely to sell well in bookstores, a regional trade book is all of these with a geographic fence built around it.... The market for regional books, in other words, is limited and identifiable, and therefore within reach of the marketing capabilities of even the smallest publisher.

Since university presses are not concentrated in a single geographic region, they cumulatively publish studies covering almost every geographic area of interest. Southern presses, for instance, publish regionally oriented titles such as Southern Folk, Plain and Fancy: Native White Social Types and Media-Made Dixie: The South in the American Imagination, both by the University of Georgia Press.

But university presses also recognize the benefit of specifically serving the home state and even the local community. Exploiting local cultural connections can have a positive effect on the place of the press within the university and community. The University of Hawaii Press publishes an abundance of trade titles such as An Underwater Guide to Hawai'i and A Practical Guide to Divorce in Hawaii. The University of Texas Press is the publisher of Lone Stars: A Legacy of

Texas Quilts, 1836-1936. The University Press of Virginia is the publisher of Virginia Cemeteries: A Guide to Resources. The University of Utah Press is the publisher of a 72-page guide for joggers titled Running in Salt Lake City. The University of Tennessee Press is the publisher of Big Orange: A Pictorial History of University of Tennessee Football.

The three broad groupings of non-monographic studies, then, are general-interest scholarship, topical studies, and regional titles. Some non-monographic books fall in no clear category. The Louisiana State University Press published, to acclaim, C. Vann Woodward's Thinking Back: The Perils of Writing History. Woodward has won the Pulitzer Prize and the Bancroft Prize, among others, in a career spanning more than half a century. The book is his retrospective view of his experiences as a historian.

An increasingly popular hybrid literary form is called "creative nonfiction." An example is Mountain Blood (University of Georgia Press), a collection of yarns and recollections of mountain life written by an English professor.

Another type of trade book is exemplified in Plaintext (University of Arizona Press), a series of essays in which Nancy Mairs describes what it means to be a woman in a patriarchal world while battling the debilitating effects of agoraphobia and multiple sclerosis. Mairs writes of the joy of romance and the trauma of rape, the despair of institutionalization and the tenderness of motherhood. In one essay, she writes of her health:

I am a cripple. I choose this word to name me. I choose from among several possibilities, the most common of which are 'handicapped' and 'disabled.' I made the choice a number of years ago, without thinking, unaware of my motives for doing so. Even now, I'm not sure what those motives are, but I recognize that they are complex and not entirely flattering. People -- crippled or not -- wince at the word 'cripple,' as they do not at 'handicapped' or 'disabled.' Perhaps I want them to wince. I want them to see me as a tough customer, one to whom the fates/gods/viruses have not been kind, but who can face the brutal truth of her existence squarely. As a cripple, I swagger.

Mairs's book is not scholarship. But it makes for serious reading and, to editors at the University of Arizona Press, was within the press' publishing mandate.

Each university press has its own sense of what legitimately falls within its editorial mission. Trade books that virtually all university presses find difficult to reconcile with their mission include cookbooks, self-help books, books of inspiration and how-to books. But beyond that, university presses have diverging concepts of what appropriately may be considered scholarly publishing. That divergence is nowhere more evident than in the decision by some university presses to publish original fiction and poetry.

Publishing Fiction and Poetry

Dennis Gossen is dead -- his career in economics cut short by the Harvard Promotion and Tenure Committee and an apparent suicide. But when two members of the tenure committee are killed, Harvard Economics Professor Henry Spearman finds himself on the trail of a murderer.

This is the basic plot of The Fatal Equilibrium, a mystery novel that provides a grasp of basic economics on the way to solving a whodunnit. The publisher is the scholarly MIT Press. Amid the economics lessons, the book is full of academic intrigue as readers try to pinpoint the murderer. Was it Morrison Bell, mathematics star and inventor of devices to defeat the squirrels in his birdfeeders? Was it owl-like Oliver Wu, the distinguished sociologist who harbors deep resentments? Was it Valerie Danzig, supposedly former 'item' with Dennis Gossen? Or Foster Barrett, gourmet Harvard classicist? What about Cristolph Burckhardt, infatuated employer of Gossen's fiancée? Or Russian emigre Sophia Ustinov, lover of American poetry and Borzoi hounds?

Professor Spearman applies the hypothesis of diminishing marginal utility to solve the mystery. As a New York Times book review said (Krulwich, Oct. 20, 1985, p. 55): "Using the logic of a rational consumer, Spearman explains why apparently similar jobs pay different salaries, why soda machines differ from newspaper dispensers, and why -- everything else being equal -- Dennis was not likely to kill himself."

The Fatal Equilibrium is listed in the MIT Press's Fall 1985 catalog amid such scholarly monographs as The Structure and Reform of the U.S. Tax System and The Political Economy of International Monetary Interdependence. The book's predecessor, Murder at the Margin, was a success, with the Wall Street Journal calling it a "painless way to learn economic principles." The author of both novels

is "Marshall Jevons," the pseudonym for the team of William Breit, professor of economics at Trinity University, and Kenneth G. Elzinga, professor of economics at the University of Virginia.

A few university presses now are publishing serious fiction, described as literary works that require an intellectual reading. These books may be experimental novels, or works by new writers who do not write category fiction.

"There seems to be no real outlet for good, high-quality fiction in New York anymore," said Beverly Jarrett, executive editor of the LSU Press. "It seems that much of the commercially viable fiction is the pop romance, the murder mystery and the quick-easy read. It's not the serious hard fiction of the past." Jarrett said serious fiction books have a more complicated plot, might deal with moral issues or ethical questions, or offer situations without easy solutions. "It's not fiction where the characters are the same and the plot is the same," she said.

Commercial houses still publish novels by 'name' authors, but seldom novels by first-time authors. Jarrett said New York publishers report rejecting some excellent novels by first-time authors because the novels likely would not sell more than 10,000 copies. Some university presses view their role as stepping in the gap to assure the continuation of quality fiction.

In the early 1970s, Robert Emmitt, then managing editor of the Vanderbilt University Press and a novelist himself, faulted university presses for eagerly publishing analyses of existing literature but

shunning the opportunity to publish new literary works. He argued that university presses should begin publishing "primary sources" of literature, writing (April 1971, p. 247):

We know, too, that as long as we stick to publishing what the scholar calls his 'secondary sources' we are on safe ground as university publishers: nobody can accuse us of playing fast and loose with the word 'scholarship,' of trying to undermine our profession or of starting revolutions; we are secure, proper, respectable, and righteous in the eyes of the community we publish and serve -- so long as we go on publishing, say, stylistic and/or thematic analyses of William Faulkner but never venture to publish what we believe and hope will be another William Faulkner.

Since 1980, an increasing number of university presses have begun publishing what they believe and hope to be other William Faulkners -- often with literary and even financial success.

The legendary book that prompted dreams of literary success was John Kennedy Toole's novel A Confederacy of Dunces. The novel was published in 1980 by the LSU Press after being rejected by at least nine New York publishers. It went on to win the Pulitzer Prize for fiction.

But the young author did not live to see his oft-rejected work become acclaimed. As years passed with no success in finding a publisher, Toole became increasingly withdrawn. In 1969, in his early 30s, he committed suicide. The manuscript eventually came to the LSU Press through novelist Walker Percy. While teaching at Loyola University of New Orleans in 1976, Percy was accosted by a middle-aged

woman who wanted him to read a novel written by her son. The mother said she had found no publisher willing to invest in a long, comic tale written by a man who would never write another book. Assuming the worst, Percy put her off. But one day she thrust a bulky, barely legible carbon copy of her son's novel in Percy's hands. He hoped the first few pages would be so bad that he could reject it quickly. Instead, as he reports in his Foreword to the novel, he "read on. And on. First with the sinking feeling that it was not bad enough to quit, then with a prickle of interest, then a growing excitement."

L.E. Phillabaum, director of the LSU Press, said a paradox exists for first-time authors because it has become increasingly difficult to place full-length serious fiction with commercial publishers unless the author is a writer of substantial reputation. "It is, of course, nearly impossible to become a writer of such stature without having had books that have sold very well indeed. *Catch-22*," Phillabaum said (Mitgang, June 20, 1982, p. 13). "It seems to us that there is a proper role for university presses in this world: to provide an additional outlet, albeit a modest one, for works of serious fiction. At LSU Press, we became convinced a few years before A Confederacy of Dunces was published that the commercial situation of picking books for market and subsidiary-rights potential would not reverse itself. We therefore decided, as a matter of policy, that publishing novels of high literary merit, regardless of sales potential, was an appropriate area for a university press."

First press runs of LSU novels average about 2,000 to 2,500

copies, all in hardcover. LSU publishes a half dozen or fewer novels each year out of a list of about 60 new titles.

The vast majority of university presses consider fiction to be outside their editorial missions. Table 6.2 shows that more than two out of every three responding presses reported that they do not invite fiction submissions of any kind. Of the one in three that do, half said they invite fiction submissions only for special projects or series and do not invite manuscript-length original fiction on a routine basis.

The publishing of original fiction is a point of debate among scholarly publishers. The director of an Eastern university press responded to the survey by writing: "We do not feel that fiction falls within the province of a university press. If it is good, it will get published by one of the many, many trade publishers. A university press should not waste its resources on trade fiction publishing."

TABLE 6.2
Presses that Invite Fiction Submissions

Acceptance of Fiction	No. of Presses (N=52)
Yes	8 (15%)
No	36 (70%)
Special Cases Only	8 (15%)

That sentiment is shared by many in scholarly publishing. Herbert S. Bailey Jr., who retired in 1986 as director of the Princeton University Press, told The New York Times (Mitgang, June 20, 1982, p. 13):

What bothers me when university presses do fiction is that it makes headlines. An occasional book of fiction may be okay, but things give way when people say 'Isn't it wonderful? The university press is publishing novels.' I have professional misgivings about a university press being seen as doing 'wonderful things' instead of 'stodgy things' that we do all along. And I don't think it's really 'stodgy' if what you're doing is a specialized work of scholarship.

A Southern university press director concurred. "All these wonderful Shakespeares in the wilderness and no one would publish them. I think that's hogwash," the director said, adding that fiction is a wholly different kind of publishing that requires a different marketing strategy as well. In addition, fiction goes against the concept of specialized list-building. "In nonfiction, you build a list," an editor said. "You can build a list in anthropology. In fiction, you have to build a list with each book." Fiction, then, offers new challenges in marketing.

Still, a few strongly believe that fiction lies within the mission of a university press. John Gallman, director of the Indiana University Press, said (Mitgang, June 20, 1982, p. 22):

Our assumption is that serious fiction is as important to our culture and society as scholarship, and our subsidiary concern is that fiction needs help, that novelists need the same kind of support as do professors of history, literary criticism or philosophy.

If you wanted our rationale in 25 words or less, it would be this: We care about quality fiction. One must believe that there is an appetite, even a hunger, for serious, unpredictable new fiction. It is that very risk, the newness, the excitement that makes it important. Serious fiction is always something more than entertaining, though in our judgment it must be entertaining as well. We are not looking exclusively for experimental or avant-garde fiction. Nor are we particularly interested in the highest of highbrow material. We want our books to be good reads, exciting, funny, distinctive and serious about life and feelings in the most fundamental sense.

Considering the comparatively few novels published by university presses, a surprising number have achieved national prominence. In 1982, the Ohio State University Press published a voluminous novel about small-town Ohio, a work 50 years in the writing, called ...And Ladies of the Club, by 88-year-old Helen Hooven Santmyer. The press earlier had published her memoirs. The four-pound novel had a small sale, but it came to the attention of two Hollywood producers. Weldon Kefauver, then director of the Ohio State Press, obtained an agent to represent the press. As a result of five months of negotiations, the press and the author became equal partners in a majority share of proceeds from the reborn novel, with Putnam as trade publisher, paperback rights set at a \$250,000 minimum, and adoption as a main selection of the Book-of-the-Month Club ("Cross Currents," Jan. 27, 1984, p. 30).

Another recent success is The Hunt for Red October, published by the Naval Institute Press in 1985. President Reagan read the novel and pronounced it "the perfect yarn." The author, Tom Clancy Jr., was invited to the White House. The book, as a result, spent several

months on the capital's best-seller list. "It never hurts to have a little advertisement, especially if it comes from the top," a bookstore trade buyer quipped at the 1985 Western University Presses Association conference.

The book is a sea thriller about a Soviet submarine captain who seeks to defect to the United States, bringing with him a special billion-dollar submarine named "Red October." Moscow dispatches 58 attack submarines to hunt and destroy the special sub before its secrets fall into American hands.

Clancy is a Maryland insurance broker who never served a single day in the Navy, much less aboard a submarine. He studied the major unclassified books dealing with Soviet submarines and interviewed naval officers for background. Clancy conceived the idea for the book upon reading about an attempted mutiny aboard a Soviet frigate in 1976. "That mutiny rattled around in my head for years," Clancy said. Upon writing the manuscript, he went directly to the Naval Institute Press because his previous writing experience had been a letter to the editor and an article about MX missiles, both published in the press' monthly magazine. The press specializes in books such as Dictionary of Naval Abbreviations. But it just so happened that the editors had decided to publish original fiction, provided it was "wet" -- about the Navy (Blake, March 4, 1985, p. 82).

Although most university presses shun the publishing of original novels, far more willingly publish another form of fiction -- novels that are old, out of print or in another language and are considered

worth perpetuating. Presses have individual lists in such reprint arenas as Latin American literature, American Indian writings, and Third World and other non-mainstream fiction. As an example, the University of Nebraska Press began a Modern Scandinavian Literature in Translation series in 1986 with the publication of Winter's Child, the first English translation of the 1976 novel by a Danish writer ("Footnotes," June 11, 1986, p. 27). A number of university presses, then, reprint novels but do not seek original ones.

As in fiction, most university presses historically have considered the publication of poetry to be incongruous with their mission to provide an avenue for scholarship. While criticism of poetry is published, original poetry itself typically is not. This once prompted an editor to compare the academic preference for literary criticism over literary production to "a farmer who prefers discussing his crops to planting them" (Garlington, Spring 1966, p. 39).

Table 6.3 shows that about two out of three responding university presses reported they do not invite poetry submissions under any circumstances. Most of those that do invite poetry submissions say they do so only for special projects or series.

An Eastern university press director responded: "We do not believe a scholarly publisher/university press should publish poetry. There are more than enough publishers of poetry in the United States to take care of the little good poetry written." An editor in the Southwest added: "Poets who are good, I maintain, get published."

TABLE 6.3

Presses that Invite Poetry Submissions

Acceptance of Poetry	No. of Presses (N=52)
Yes	8 (15%)
No	34 (66%)
Special Cases Only	10 (19%)

But others disagree. As trade publishers have become less receptive to poetry without mass appeal, university publishers have started to take up the literary slack by adding more volumes of poetry to their lists. University presses recognized as leading publishers of poetry include Wesleyan, Pittsburgh, LSU and Arkansas. Yale University Press has its Younger Poets Series, founded in 1919. The competition is open to American writers under 40 who have never published a volume of poetry. Earlier winners include James Agee, Adrienne Rich and Muriel Rukeyser ("Footnotes," July 23, 1986, p. 7). The press traditionally receives more than 800 manuscripts a year from new poets.

Collections of poems also are issued by Princeton, Johns Hopkins, Ohio State, Carnegie-Mellon, Texas A&M, Cleveland State, Virginia, Florida, Alabama, Georgia, Illinois, Massachusetts, Missouri, Chicago, Utah and others. Asked to rank the houses that published the best or most significant poetry, 158 American poets ranked the University of Pittsburgh Press second nationally, following the commercial press

Atheneum, and ranked the Wesleyan University Press fourth. Other university presses receiving more than a dozen citations included Yale, Princeton and Georgia (Biggs, Oct. 1985, pp. 3-4).

Most university presses, however, avoid publishing poetry because so many people write it yet so few buy it. A common quip among editors is that books of poetry would be consistent best-sellers if only every person who wrote poetry would buy one book of poetry a year. Beverly Jarrett of the LSU Press said poetry traditionally sells poorly but added: "We publish it anyway because it deserves to exist." LSU publishes a half dozen or so books of poetry each year, representing about 10 percent of its new titles.

One of LSU's successful poets is Miller Williams, who happens to be the director of the University of Arkansas Press. Williams holds the academic rank of professor at Arkansas and has won the Prix de Rome of the American Academy of Arts and Letters. He is the author or editor of more than 20 books, the latest being Patterns of Poetry: An Encyclopedia of Forms (LSU Press). His love of poetry is reflected in the list-building at the Arkansas Press. About 25 percent of the press' new titles each year are poetry collections, poetic criticism or poetry in translation. Even allowing for overhead and other expenses, Arkansas' poetry list more than pays for itself. "Our poetry program is in the black. We make money on our poetry books," Williams said. "Presses that explain their failure to publish poetry because it isn't profitable to them are probably being honest. But the myth that poetry never sells -- people ought to be disabused of that."

University presses also are hesitant to undertake the massive manuscript screening that would be required for poetry. A former poetry program official outlined this chief concern (Beacham, Jan. 1978, pp. 160-161):

University press directors are afraid of poetry, and for good reasons. First, they know from their own experience, or from the directors at other presses, that there is a tremendous volume of manuscripts waiting to be considered, and like a reservoir the number grows each year.... If a university press announces that it will begin reading poetry manuscripts, it can expect to receive at least 2,000 the first year, and these collections are not easily categorized and eliminated. With scholarly publications, university presses can decide conscientiously that they will read no more manuscripts dealing with Melville or Faulkner or Hemingway, and an editorial assistant can return the submissions without considering them. But with original creative writing, there are few categories, and the press must make arrangements to screen many excellent volumes.

Some presses, such as Arkansas, do their own soliciting and screening of poetry collections. Other presses depend on an outside mechanism. The University of Alabama Press publishes two books a year for The Alabama Poetry Series. But rather than handle the selection process, the press publishes the works selected by the English Department's creative writing faculty. The University of Hawaii Press has an annual poetry contest run by an independent editorial board. The University of Illinois Press appoints a professor who is a published poet to choose its winner. An editor with the University Press of Virginia said: "We publish one volume a year for the Associated Writing Programs. Submissions go to them, not us. We don't let any poetry manuscripts in our door."

The Associated Writing Programs, with headquarters at Old Dominion University, has proven itself a success at encouraging the publication of books of poetry as well as books of fiction, short stories and creative non-fiction. A university press, of course, still must absorb the obvious costs of production. But the cooperative program assists with the most taxing phase of the process by handling the editorial soliciting and judging. The Associated Writing Programs assure the winning entrants in the four genres -- poetry, fiction, short stories and creative non-fiction -- will be published. "We administer the competition," said Gale Arnoux, director of services for the AWP. "We solicit manuscripts and send to screeners, who are published writers in the field." These screeners narrow the lists to a dozen to 15 finalists, which in turn are sent to a prominent writer of that genre who selects the winner.

Currently, Texas Tech University Press publishes the winning poetry collection from about 500 entries sent to the AWP. The University of Iowa Press publishes the winning entry among novels, the University of Missouri Press publishes the winning short story entry, and the University of Georgia Press publishes the winner in creative non-fiction. The dozen or so other finalists in each category typically are circulated to participating presses. Many eventually are published since presses have the assurance they have been rigorously screened. With this process, AWP solved the university press' largest problem by making quality manuscripts available without the trouble and expense of soliciting on their own.

Textbooks, References and Series

University presses may have a healthy disagreement over the publication of fiction and poetry, but they are in agreement on the need to attract books suitable for classroom use. At most presses, the best-selling titles are those that sell year after year because of student use.

University presses, though, seldom publish conventional textbooks that serve as the basic informational source for a course. The books they publish with classroom appeal primarily serve as required or supplemental readings in upper-level courses with limited enrollments. These books are written to be understood by students as well as by scholars. "We don't want to publish textbooks, but if we can get a book in a classroom, fine," a Western university press editor said. The director of an Eastern university press added: "We don't want to get into the textbook business and become a profit-making press. We don't want to detract from our scholarly mission by getting into that."

For commercial presses, the biggest publishing profits -- not including subsidiary rights income -- come from textbooks. University presses, as non-profit entities, are not expected to have a profit motive. Once, the head of a large commercial textbook publisher in New York came to a university press meeting as an invited speaker, caught the whiff of conventional textbook publishing among those tax-exempt presses, and threatened to draw down all of the powers of the IRS (Goellner, 1978, p. 1698).

So university presses can't become blatant profit-seekers. Yet presses recognize that a book with a classroom application can help pay for scholarly monographs that don't recover their own costs. At the Johns Hopkins Press, the 20 best-selling titles all have enjoyed a course-related use. The sales leader, with about 150,000 copies sold, is The Johns Hopkins Atlas of Human Functional Anatomy, now in a third edition. The book sells to students learning to be paramedical technicians and learning to fill other health-care positions. The atlas, with 210 color illustrations depicting all organs and systems of the human body, even makes its way into high school science classrooms.

In looking for books that might be course-related, editors at the Johns Hopkins Press monitor trends in education. For instance, the press published the atlas just as the new field of paramedical training was beginning and needed required materials. In fact, the press is quite open in making an effort to acquire titles that combine scholarly merit with a solid potential for classroom sales. "I find nothing at all wrong with this. It used to be asserted that university presses should not publish course or textbooks, but that's nonsense," Goellner said (Roberts, May 10, 1981, p. 13). "Now, every time we consider a new book, we raise the question: Will it have any kind of course application? It has to be a good book judged by scholarly standards, but we also have bills to pay."

Few presses are as direct in their marketing for classroom use as the Johns Hopkins Press. In advertising its Introduction to the Theory

of Social Choice, the press called the book "the first textbook on the topic suitable for use in undergraduate courses in economics, political science and political sociology."

Usually, non-profit university presses have a more-veiled approach. Harvard University Press told prospective buyers that sections of The Israeli Economy: Maturing Through Crises would be "ideal for course use." Columbia University Press promoted The Freudian Body: Psychoanalysis and Art by saying its "challenge to established thought will be fascinating reading for students of literature, psychoanalysis, critical theory and women's studies." Stanford University Press said its Politics and Paradigms: Changing Theories of Change in Social Science will "be of interest to students of political philosophy as well as of comparative politics." Indiana University Press called Committed Journalism: An Ethic for the Profession a book "for every practicing journalist or student of journalism. It is destined to set standards for the industry and to be the book on journalism ethics for the foreseeable future." And Duke University Press promoted Polanyian Meditations by saying it "gives promise of starting an entirely new debate among students at the leading edge of philosophic thought."

University press officials justify the publication of such course-related books by saying that if teaching, like research, is indeed a proper function of the university, then the publication of books useful in teaching surely is a proper function of the university's press.

University press books can even influence curricular development. The University of Pennsylvania Press published an edited anthology by Valene Smith called Hosts and Guests: The Anthropology of Tourism. The work had been offered to 86 different houses, but was repeatedly turned down usually with comments about the risky future of the subject or the lack of regular university courses. Nelson H.H. Graburn, professor of anthropology at the University of California at Berkeley, said (Oct. 1981, p. 77): "Since its publication, however, large courses have been introduced for undergraduates on a regular basis; it has been possible to teach such courses only since this book came into existence."

University presses also are prime publishers of reference books needed by libraries and students and within the professions. Reference works have a large base market among libraries, and library budget cuts seldom affect reference book purchases as they do monograph purchases. Reference works also typically have a long life.

At the University of Chicago Press, the all-time best-seller is A Manual for Writers of Term Papers, Theses and Dissertations, which is approaching five million copies sold since it first appeared in 1937. A fifth edition was released in 1987. The previous four were written by Kate L. Turabian, who also wrote the No. 2 best-seller of the Chicago Press -- A Student's Guide for Writing College Papers, which still sells 50,000 copies a year. The No. 3 seller is Richmond Lattimore's translation The Iliad of Homer, and No. 4 on the list of

the press' best-sellers is another reference work: The University of Chicago Spanish Dictionary. Another steadily selling reference book is The Chicago Manual of Style, which first appeared in 1906. Its appendix then offered 10 pages of hints, beginning with: "Manuscripts should be either typewritten or in a perfectly clear handwriting. The former is preferable" (Seybold, Feb. 1983, p. 164). The current 13th edition is 738 pages -- almost 200 pages more than the 12th.

Harry Church Oberholser's Bird Life of Texas is another prominent member from the annals of reference works. Shortly after Frank Wardlaw became director of the University of Texas Press in 1950, he was advised that one of his first acquisitions should be Oberholser's bird book. But it almost became the book too big for Texas. The manuscript weighed in at 105 pounds, and it contained 3,200,000 words.

The book, published in 1974, was 73 years in the making. In 1901, the U.S. Biological Survey sent two young scientists to Texas to make a survey of bird and mammal distribution. One of the scientists published his survey in a 1906 government bulletin. The other, Oberholser, delayed publication until he could accumulate more data. Accumulate he did, until the manuscript reached such proportions that its size virtually precluded publication. Oberholser was unwilling to allow surgery on his creation, so the project languished for another decade. Finally, with Oberholser then 92 years old, all parties agreed to a plan to pare the manuscript to about one million words. Oberholser died the following year, never getting to see his bird book in print (Wardlaw, Jan. 1975, pp. 159-163).

Examples of newer reference works include the eight-volume Encyclopedia of Materials Science and Engineering (co-published by the MIT Press and Pergamon Press), a seven-volume work in progress called Dictionary of North Carolina Biography (University of North Carolina Press) and The Sucking Lice of North America (Penn State University Press) written for entomologists, parasitologists, public health workers, veterinarians and zoologists. Even smaller university presses can undertake reference book publishing. In 1986, the University Press of Kansas published Flora of the Great Plains, a reference work on plants covering about one-fifth of the United States. The one-volume work is the biggest book the press ever has published. It has 1,408 pages, weighs more than four pounds, and contains about one million words. The book is the product of more than 35 years of plant collecting, research and writing. Funding support came from the National Science Foundation and participating universities. The work will serve as a sourcebook for naturalists and for plant taxonomy classes.

University presses also have a penchant for creating series. Many editors dislike series, complaining that they take an inordinate amount of time to organize and that they place responsibility more on an academic supervisor than on an editor. But other editors say there is no better way to establish a reputation in a field than by offering a series.

The University of Wisconsin Press is up to volume 16 in its Studies in Eighteenth-Century Culture. Stanford University Press has

established a new series called Comparative Studies in History, Institutions and Public Policy. One of the oldest book series emanates from the Sather Lectures in classical literature, given annually on the Berkeley campus and published for more than 60 years by the University of California Press.

The organizational mechanism for creating a series of scholarly books can vary. A distinguished lecture series may be converted into a series of books. Or the work of several scholars presented jointly in a symposium may be published as an edited volume. The increasing frequency of edited volumes is a byproduct of the specialization of knowledge. No single scholar is likely to possess the breadth of knowledge and the tools of research needed to explore a single topic in its multitude of ways. Still another form of edited work is the volume of homage referred to as *Festschriften*. This is a volume of essays honoring retiring scholars and written by their former students. Most university presses discourage the submission of *Festschriften* because such works frequently have little unity of content.

Typically, though, a series is conceived by a university press as an acquisitions tool, or else a prominent scholar willing to be the series editor proposes the concept to a press. The offerings still go through the traditional peer review and editorial committee processes, but the scholar may serve as a commissioning agent to encourage the writing of manuscripts that would fit the series.

Most university presses avoid directly commissioning books themselves. As J.G. Goellner of the Johns Hopkins Press said (July 1981, pp. 293-294):

The press may sort through the fruits of scholarship, rejecting the underripe and the overripe, the misshapen and the wormy. But this sorting is limited to whatever fruits are made available. Scholarly publishers do not for the most part 'commission' books of scholarship the way textbook publishers commission textbooks. Doing so would mean directing the research of scholars. Good scholars do not permit that -- and I wouldn't trust one who did.

Sheldon Meyer of the Oxford University Press said he opposes the concept of commissioning works. "Many presses in the 1960s were commissioning. That's terrible," he said. "The best work comes out of the scholar's own interests." Charles Grench, acquisitions editor for the Yale University Press, said he may mention to scholars, while on a scouting trip, a topic of interest to the press. "But we don't steer people into writing specific books," he said. "But we all have a bright idea now and then."

Through the years, though, some university press books have been commissioned with good results. The first book ever commissioned by the Columbia University Press was Ernest F. Scott's The Literature of the New Testament, published in 1932 (Wiggins, July 1983, p. 332). More recently, the University of Nebraska Press commissioned a book of essays on Western military leaders and the University of Illinois Press commissioned a book titled Black Leaders of the 20th Century because of perceived voids in those areas of scholarship.

Commissioning can help a press establish a new list-building area. When the University of Illinois Press decided to start a list in American music, the press assigned eight books in the field and attracted two more. "You establish an identity, so that authors say 'Here's a place that is receptive to manuscripts in this area,'" said Illinois Press director Richard Wentworth. Illinois now has published more than two dozen books in American music, ranging from Stars of Country Music to a book on the western swing music of Bob Wills. The book on Wills's swing music sold 15,000 copies within a month of publication, and Wills attended promotional autograph parties in Texas and Oklahoma.

Publishing the Grand Projects

A dozen or so university presses are large enough and gutsy enough to take on the grand projects that would terrify most commercial publishers since they involve large expenditures with no corresponding expectation of large returns.

One form of grand project is undertaking the publication of the papers of prominent individuals. The intent is to provide future scholars a chronicle of the correspondence and papers of such historical figures as James Madison and Edmund Burke.

In the late 1970s, Columbia University Press completed publishing The Papers of Alexander Hamilton in a 27-volume set. Hamilton's writings had been published in two previous editions -- a seven-volume edition by his son in 1850 and a 12-volume edition by Henry Cabot

Lodge reissued in 1904. The Columbia Press decided a new edition was needed to make the work comprehensive and to establish texts of Hamilton's writings up to the critical standards of the 20th century. The press undertook the \$1.6 million challenge upon completing The Works of John Milton in 1938 (Wiggins, April 1978, pp. 196-197).

At Princeton, the papers of Thomas Jefferson are completed. The press now is publishing the papers of Woodrow Wilson at the rate of about three volumes a year and is more than halfway through a complete Thoreau. With the end of long litigation involving the Einstein estate, Princeton now is publishing the papers of Albert Einstein, scheduled to appear in 20 volumes stretching into the late 1990s.

At Yale, the papers of Benjamin Franklin have been appearing one volume a year for more than two decades, with at least two more decades to go. Yale also has begun work on the papers of an entire family -- the Peales, as in George Wilson. In a showdown of families, Harvard is planning at least 100 volumes in the Adams family papers. Harvard also plans to publish all of the papers of Sigmund Freud.

California is publishing an eight-volume edition of the papers of Marcus Garvey, founder of the Universal Negro Improvement Association. The history professor editing the work said Garvey, in some ways, is to black Americans what George Washington is to white Americans (Paul, March 5, 1986, p. 6).

Besides correspondence, university presses like to publish the complete works of literary writers. Cornell is publishing the works of William Butler Yeats; California a critical Mark Twain.

Political documents aren't overlooked. In 1987, Chicago marked the bicentennial of the U.S. Constitution with the publication of a five-volume documentary history called The Founder's Constitution. The work is an anthology of primary documents from the 17th, 18th and early 19th centuries that bear on the writing of the Constitution and the application of its principles ("Footnotes," Jan. 8, 1986, p. 5).

Translations also are published in volumes. The University of Toronto Press is publishing an English translation of the writings of Renaissance scholar Erasmus. Editor Ron Schoeffel went to a library one day in 1968 to look up something on Erasmus and found that not all of his writings had been translated from 16th century Latin. "I didn't realize what we were taking on," he said. "I thought it'd be 16 or 18 volumes. It now will be 80." The target date for completion of the project is 2002.

Of this desire among scholarly presses to publish complete works, the New York Times said (Bruckner, Oct. 18, 1981, p. 12):

One is reminded of the clerics who started this publishing tradition, especially of the Benedictines of the French Abbey of St. Maur, who 350 years ago, at the suggestion of Erasmus, began to collect, edit and publish all the works of the Fathers of the Church, both Latin and Greek, in giant folios that came from the abbey for more than 100 years in ivory vellum covers, like a long procession of robed abbots.

The Chicago Press has taken on some particularly ambitious projects lately. One project that will run well into the 21st century and is expected to cost \$3 million, sans inflation, is The Complete Works of Giuseppe Verdi. This heavily subsidized, 37-volume edition

is to be published at the rate of about one volume a year. It will give all of the composer's oeuvre -- operas, sacred music, songs and chamber music. Scholars allowed into Verdi's archives found not only variations in the scores but different versions of entire sections of works.

The first of these, published in 1983, provided an annotated score of "Rigoletto" with a companion volume of textual notes. A performance of the new "Rigoletto" premiered soon thereafter in Vienna under the baton of Riccardo Muti. "That is a very dramatic story in itself," said Chicago Press director Morris Philipson (Berkley, July 6, 1984, p. 32). "While the Vienna Opera was determined to have the premiere performance, it didn't publicize what it was doing, and therefore each time there was a difference from the accustomed performance, the audience booed."

Another of Chicago's grand projects has been sidetracked, perhaps permanently. In 1973, the Chicago Press began publishing a translation of The Mahabharata, a complex epic known as the wellspring and mirror of the ancient Indian civilization. The translator, J.A.B. van Buitenen, a Sanskritist, died in 1980 in his 50s, having seen three volumes to press -- only a third of the 100,000 couplets in the vast poem. Finding another skilled translator who will dedicate a lifetime to the work is unlikely.

Some of these grand projects have become landmarks of scholarship and editing. One of these megabooks is The Children of Pride. At a Thanksgiving Day dinner in New Orleans in 1952, a young English

teacher at Tulane University learned from his hostess that she had in her attic a journal and some letters written by her ancestors. The teacher, Robert Manson Myers, asked to see them. The correspondence revealed a family that kept in touch by writing letters -- and saving them -- both before, during and after the Civil War. Charles Colcock Jones was a Presbyterian minister and owner of three Georgia plantations. He and his wife corresponded with a son at Harvard Law School, in the heart of Abolitionist country; there were notes from daughter to mother about the nice young preacher she was to marry; there was the mother's harrowing account in her diary of how Yankee soldiers stormed their Georgia house.

Although Myers was an 18th century English literature specialist and not a Civil War specialist, he was intrigued at the writings and resolved to compile them into a book. When nearly finished, he stumbled upon another cache of Jones family letters -- a huge one -- at the University of Georgia Library. So he decided to start over and incorporate the best of them, too. In all, Myers typed 6,000 letters and ultimately chose 1,200. He arranged the letters so they would form an "epistolary novel" whose pace and clarity would engage the reader just as a narrative does.

Fifteen years after that Thanksgiving dinner, Myers had a completed 2,140-page manuscript. He submitted it to the University of Georgia Press, which turned it down. So did others -- aghast at the size of the book. The Yale Press invited it in. Dana Pratt, assistant director of the Yale Press at the time, wrote (Oct. 1973, pp. 30-31):

For a few days after that five-box manuscript landed with us, we treated it like a beached whale; we circled it cautiously, poked at it gingerly, and almost called a truck to haul it away. But then three or four of us began reading it and we were hooked, including Joan Kerr, wife of the director of the press, who read the entire manuscript while recuperating from surgery. Vann Woodward, pre-eminent historian of the period and a member of our Publications Committee, was enormously enthusiastic; so was our outside reader, Eugene Genovese, another historian uniquely qualified to judge its scholarly value.

Myers turned out to be one of the most exacting authors Yale Press has ever had. He read proofs by examining them under a magnifying glass, picking up typesetting flaws not apparent to the naked eye (Pratt, Oct. 1973, p. 31). Yale published the book in 1972 and sold more than 25,000 copies in the first year. The book won the 1973 National Book Award in history.

An even larger megabook is The Lisle Letters, researched and edited by Elizabethan scholar Muriel St. Clare Byrne over a period of 51 years. The six published volumes contain two million words and 3,953 pages. In 1930, Byrne first suggested editing the 16th-century correspondence of Viscount Lisle, Edward IV's illegitimate son. Her project earned the support of T.S. Eliot, then a director of the British publishing house of Faber & Faber which signed her to a contract in 1941. The project grew too big, though, and the British publisher pulled out. The University of Chicago Press took over the project in 1975 with Byrne then 80 years old.

The Tutor letters span seven years from 1533-1540, a period encompassing Henry VIII's break with the pope and his divorce from

Catherine of Aragon and marriages to Anne Boleyn, Jane Seymour, Anne of Cleves and Catherine Howard. Those years also saw the dissolution of the monasteries, the rise and sudden fall of Thomas Cromwell, and the execution of Sir Thomas More. All of these serve as background for the Lisle story and are mentioned, almost casually, in the letters. Lord and Lady Lisle, separated for a brief time, write some remarkable love letters. At the end, Lord Lisle is sent without warning to the Tower of London for treason he did not commit.

Byrne found the letters in the Public Record Office 400 years later. Trained in history and languages and already a published writer, she recognized the value of the letters. But with her appreciation for the stage as well, especially Shakespeare, she saw in the letters a fascinating drama with the classic beginning, middle and end.

The manuscript that arrived at the Chicago Press had 4,799 pages -- all typed single-spaced. Some of the pages were brown and fragile with age, having been typed 30 or more years earlier. Some pages had been cut apart and glued together to make room for additions (Seybold, April 1982, pp. 245-262). The work was published to acclaim in 1981 when Byrne was 86 years old.

A megabook that University of California Press director James Clark calls "a perfect metaphor for what a university press does" (Bruckner, Oct. 18, 1981, p. 28) is The Plan of St. Gall. The book, considered a classic in medieval scholarship, is an architectural, historical and anthropological study of a Carolingian monastery plan preserved in the Convent of St. Gall, Switzerland, for 1,100 years.

The project began in 1967 as a book of 700 pages with 561 illustrations. By the time it came out in 1980, its size and cost had doubled. The book cost \$359,749 to produce, and overhead was estimated at \$281,000. Sales of the 2,000 sets at \$250 apiece brought in \$500,000, and the book received \$152,000 in subsidies. So it could be argued that the book made \$11,000. But there were incalculable human costs. The traditional roles of author and publisher blurred. The authors -- Walter Horn, professor emeritus of the history of art at the University of California, and architect Ernest Born of San Francisco -- ultimately brought with them more than \$100,000 in funding and they assumed an active decision-making role. Born selected the typeface and redesigned one of its characters. He chose the paper and the cloth for the cover. He determined the layout of every page. Their involvement reduced the publisher's role, at times, to that of billpayer.

James Clark, director of the California Press, chronicled the fascinating history of the book by reproducing letters between the authors and then-director August Fruge (Jan. 1982, pp. 101-117):

Fruge to Horn, September 1967: "There remains one worry: the finances of the project.... I don't like to be so cautious before committing myself to a royalty, but we are buying a pig in a poke, especially when we are dealing with Ernest, who is excellent on quality but not overconcerned about other people's money."

Fruge to Horn, October 1973: "I am acutely embarrassed by the high cost of this one project. You know, I am sure, that I like the idea of putting out one super handsome book -- a kind of monument. But I do not have the right to spend the University's money on a monument to you or to the Press."

Horn to Fruge, October 1973: "You have written in your letter of October 8 what I have heard you state more than once in informal conversation: that with the St. Gall book Ernest and I are out to set a 'monument' -- to ourselves, to you, and to the Press. You must allow us to correct this impression because it is erroneous. Neither Ernest nor I is interested in a monument."

At this point, it became evident that matters probably would go public. Correspondence began to take on the character of documentation.

Fruge to Horn, December 1974: "In the year since my letter of 8 October 1973 the cost of printing, paper, and binding appears to have gone up by about \$22,000. This is in addition to the \$21,000, which I mentioned in the earlier letter and which had largely to do with the new material, text and illustrations, that you and Ernest wish to add to the book. I simply cannot steer the Press into what appears to be a large financial disaster. Nor can I leave this project as a sort of time bomb to be defused or exploded by my successor... This is formal notice, then, that the Press will not continue with the project under present circumstances."

Horn to Fruge, January 1975: "In your handling of the St. Gall book you have appeared inactive and timid.... You suffer from a ludicrous misconception that Ernest and I are hell-bent to set ourselves 'a monument.'"

Fruge to Horn, January 1975: "You keep coming back to my jest about a monument to you and Ernest. I had not dreamed that so lighthearted a thrust could strike so deep. In any event, I have no objection to a monument provided it not also become a tombstone for the Press."

Horn to the President of the University of California, January 1975: "I consider Mr. Fruge's action to be an affront to me as author of this work."

Fruge to the university's vice president, February 1975: "I am grateful for the offer to help in my little duel, as you call it, with Walter Horn.... We are jockeying for position, as you will see. He is trying to get me off balance and I am trying to retain what leverage I have."

Früge to Born, January 1977: "In spite of our little difficulties, which were inherent in our differing responsibilities, I am proud to have worked with you and Walter on a remarkable project."

With this note, Früge retired. Three years later, The Plan of St. Gall was published to critical acclaim.

To reach larger audiences with these works, university presses have published abridged versions. California's abridgement of The Plan of St. Gall, Yale's abridgement of The Children of Pride and Chicago's abridgement of The Lisle Letters are popular among general readers.

Best-Sellers and Reprints

Through the years, university presses have had some surprising best-sellers -- with sales above 100,000 copies. Most best-selling titles have been trade books or reference works.

Mark Girouard's Life in the English Country House (Yale University Press) is a social and architectural history that evidently is the only American university press book ever to make the London Times bestseller list (McDowell, May 10, 1981, p. 23). Another unlikely bestseller was The Mushroom Hunter's Field Guide (University of Michigan Press) by Alexander Smith, who at the time of publication in 1958 was the curator of fungi at the University of Michigan herbarium. A reviewer at "The New Yorker" was so taken by the book that he devoted several pages to it and wrote that "Dr. Smith has done for the hunter of mushrooms what Mr. Hemingway did for the hunter of big game."

In 1975, a University of Texas Press editor discovered in the archives of the university's Humanities Research Center a 150-page manuscript written by T.H. White in 1941 as the original conclusion to his King Arthur legend chronicled in The Once and Future King. In 1977, the manuscript was published by the Texas Press as The Book of Merlyn. White, then, posthumously ended his Arthurian epic 36 years later as he had wished -- with the king discouraged by the disbanding of his Round Table and having returned to the tutelage of his childhood mentor, Merlyn, for a final lesson about war, human society and the reasons for hope. The book made the New York Times' bestseller list with sales in hardcover or paperback of one million copies.

As university presses publish titles with more marketplace appeal, these titles are making their way into the subsidiary rights market. These tend to be trade books and others in the expanding title mix, not scholarly monographs. Harvard's all-time bestseller, One Writer's Beginnings by Eudora Welty, was sold for paperback reprint to Warner Books for \$50,000. Harper & Row paid the California Press \$100,000 for Habits of the Heart: Individualism and Commitment in American Life by Robert Bellah and others. The Kentucky Press sold reprint rights to The 25-Year War: America's Military Role in Vietnam by Gen. Bruce Palmer Jr. to Simon & Schuster's trade paperback imprint called Touchstone. The Arkansas Press sold In the Land of Dreamy Dreams, a collection of short stories by Ellen Gilchrist, to Little, Brown. Berkley paid almost \$50,000 for the Naval Institute Press' The Hunt for Red October. But, increasingly, scholarly publishers are

choosing to reprint their own titles in paperback rather than sell rights to the large New York commercial paperback houses. "We're becoming more competitive with the commercial paperback houses, so there really isn't any reason to sell most paperback rights," said Claire Silvers, publicity manager for the Harvard University Press (McDowell, Aug. 19, 1985, p. C15).

University presses also are adding titles that commercial publishers let go out of print because of a 1980 Internal Revenue Service ruling that eliminated tax writeoffs of overstock for profit-making publishers. Scholarly publishers don't need the same sales volume as commercial publishers do to make a book worthwhile. But before adding a reprint, a university press typically will contact professors in the field, asking whether the book still has any course-related benefit. For instance, when advised by several journalism professors that Myron Farber's 1978 book Somebody is Lying probably had little course application anymore, the Princeton University Press opted not to add the book to its reprint list.

One of the most successful reprint series is the Bison Books trade paperback series published by the University of Nebraska Press. First published in 1960, the more than 600 Bison Books still in print now account for 50 percent of the press' annual sales. Nebraska publishes three or four new Bison Books each month. Examples include Billy the Kid: A Handbook, Adventures of a Mountain Man and Historic Sketches of the Cattle Trade of the West and Southwest, which updates a 1940 edition.

Reprint series usually don't have great reputations. Press catalogs almost always list trade books first, then scholarly monographs, then reprints almost as an afterthought. But David Holtby of the University of New Mexico Press said: "The value of a reprint can be a powerful acquisitions tool, not just as an afterthought." Darla Beckman, marketing manager at the Nebraska Press, noted that a Bison Book played a major role in acquiring one particular manuscript. A scholar noticed a Bison Book at Albertson's Grocery Store in Clarkson, Washington. Said Beckman: "He figured that any university press that could get a book into a grocery story, next to the 'National Enquirer,' could successfully market his book."

University presses, then, have expanded the title mix considerably from the days when they published only dissertations and scholarly monographs. University presses still view the publication of monographs as their essential mission as scholarly publishers. But few limit their role to monographs. They publish trade books and reference books, some publish original fiction and poetry, others go heavily into reprints -- all with the belief they are contributing to the furtherance of knowledge while, at the same time, helping to stay fiscally solvent.

CHAPTER 7

FRONTIERS OF KNOWLEDGE AND TECHNOLOGY

Scholarly publishing serves not only as a transmitter of ideas but also as an intellectual agent of society and even as a shaper of the cultural agenda.

The role of intellectual gatekeeper involves far more than simply publishing received knowledge. The gatekeeper role also involves keeping abreast of intellectual currents, defining and redefining fields of inquiry, challenging preconceived notions and, in so doing, stimulating the mental life of the culture.

University presses, as a leading vehicle for intellectual intercourse, 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 acquisitions methods. By being on the frontiers of scholarship, a press can help direct the cultural agenda rather than merely reenforce existing values, beliefs and practices.

Knowledge, after all, is not static. Neither is the pursuit of knowledge. As scholars shift their research attention from one area of study to another, intellectual pursuit itself shifts. New fields of inquiry arise while old ones decline. The frontiers of knowledge continually expand. This shift in intellectual pursuit is reflected in what eventually reaches publication.

For instance, a current area of inquiry among historians is cultural and intellectual history. It studies the impact of ideas on culture, and culture on ideas. While cultural and intellectual history has grown in popularity, a receding area of inquiry has been social history, as in black studies or working-class histories. Although no linear relationship necessarily exists between the two, the illustration shows the evolving nature of scholarship. If a press fails to perceive current research interests, then it will be publishing working-class histories at a time when historians consider them no longer on the frontiers of knowledge. "This is an evolution within the discipline itself," a university press editor said. "Publishers try to get in step with that."

Intellectual pursuit not only can result in evolution within a discipline, but it can create hybrids of specialization -- new areas of inquiry that cross disciplinary lines. Publishers try to recognize these newly arising fields because they, too, want to be on at the forefront of scholarly evolution. As an editor at a prestigious university press put it: "Scholarly publishing plays a role in helping a new field establish an identity or in helping to legitimize it. The university press doesn't do it; the books do."

Example: Scholars currently are mining the territory that lies between history and geography. Historical geographers, as they are called, look at history from the perspective of space and region, land and environment. Two of the largest projects in the field are being published by university presses. The Yale University Press is

publishing a three-part study called The Shaping of America, by geographer Donald Meinig of Syracuse University. The study emphasizes the human creation of places, networks and intercontinental systems. In Canada, two university presses have united to publish in both English and French a multi-volume work called The Historical Atlas of Canada. It traces, through a series of maps, both the development of Canadian boundaries and the social, economic and cultural evolution of the country.

So far, the work of historical geographers appeals more to historians than to geographers, perhaps because geography itself is such a hybrid field. Geography initially began in geology, with human and cultural dimensions added only later to the study of the physical earth. Now, the research of geographers ranges from the spread of populations to the spread of diseases and from drawing maps to forecasting climate trends.

"If you look at geography in the last 25 to 30 years, you see it exploding," said Sam B. Hilliard, professor of geography at Louisiana State University (Winkler, Sept. 24, 1986, p. 7). "The end result is that the field looks like a wheel: People sit on their own spokes and talk less and less to those on the other side. Eventually, the wheel may become a doughnut, with a huge intellectual hole in the middle. We have already reached the point where we look at some of the titles of research papers, and not only do we not know why they are geographic, we don't even know what they are talking about."

Another hybrid field is sport history -- a cross between such remarkably diverse areas as physical education and history. Schools such as Maryland, Ohio State and Penn State now offer Ph.D. programs in sport history in their physical education departments. "Today, scholars realize that sport can and should be studied systematically," said Marvin Eyler, professor emeritus of sport history at the University of Maryland at College Park. But in 1972, when Eyler helped found the North American Society for Sport History, "I would tell other scholars I was a sport historian, and they would say, 'What do you do? Count the baseballs in the World Series?'"

The research in sport history tends to be interdisciplinary, ranging from the presentation of the "tomboy" in American fiction to analyzing rituals in American sport to studying the role of baseball in transmitting the dominant values of capitalism. "In the early years of the field, physical educators looked at history from a traditional standpoint: This was the event, these were the great leaders, this was how they played sports. In the last few years, the research and the methodology have changed dramatically. It is becoming more interdisciplinary, more quantitative, and more like social-history research in general," said Steven Riess, a historian at Northeastern Illinois University and editor of the Journal of Sport History (Winkler, June 5, 1985, p. 8). "What is happening is that sport historians think of themselves as labor historians, or urban historians, or immigration historians, or economic historians -- with a special interest in sports."

Some university presses recognized this new field of inquiry and began list-building in sports. The University of Illinois Press has a new series called "Sports and Society" billed as biographical and historical studies as well as those using psychological, sociological, anthropological, political and economic approaches.

Another growing area in historical scholarship is business history. The Bell Telephone System is the subject of a new series of books published jointly by the Johns Hopkins University Press and American Telephone and Telegraph Company. AT&T has opened to scholars its extensive archival records dating from the invention of the telephone and its patenting in 1876 up through World War II. AT&T is helping finance publication of the books. The general editor of the series is Louis Galambos, a professor of history at the Johns Hopkins University. Despite the corporate sponsorship, Galambos said the books go through standard editorial channels, including outside review and approval by the faculty editorial board. "As the series develops," Galambos said (Footnotes, July 10, 1985, p. 5), "there will be more and more authors with different points of view." Galambos said AT&T is prepared for scholars whose viewpoints disagree with its own on such issues as labor relations and the political and economic history of AT&T.

Of course, not all new directions in scholarship emanate from university presses. Commercial scholarly houses play a vital role, too. Combined, they have a significant impact on the advancement of many academic disciplines.

Emerging and Declining Agendas

The freedom that scholars have to set their own agendas in intellectual pursuit results in growth fields of scholarship and corresponding areas of decline. In scholarly publishing today, the social sciences are flourishing while the humanities are suffering. The reason is that there are more economists than European historians, more sociologists than philologists, and more clinical psychologists than Shakespearean scholars.

Not only do social science books sell more consistently, but both research and publication in the social sciences -- unlike in the humanities -- are more frequently subsidized by foundations or the government. Studies in the humanities seldom command the types of subsidies available for 'hard' or 'soft' scientific and technological research and publication. After all, a book analyzing Henry James may invigorate the mind, but it does nothing to stimulate an economy or set in motion any practical, rather than intellectual, discoveries. "The humanities are having a tough time," one editor said. "Presses are necessarily having to look at the bottom line."

Literary studies are most in trouble. Editors routinely said the highest percentage of submissions at their presses is in literary criticism and that up to a third of all scholarly books published today are literary studies. Yet they cited literary criticism as the most-overpublished area of inquiry and reported that they are cutting back significantly in the literary field because of declining sales.

A university press director in the Midwest who went through a Ph.D. program in English himself hasn't made literary criticism a priority at his press. "I may have been weaned from some of my intellectual predilections from seeing the market for literary criticism," he said.

In the words of a Princeton University Press editor, sales have "dropped off incredibly" in literary criticism. As a result, editors say university presses are publishing proportionately less in literary criticism than a decade ago. "Because so much is written in that field compared to what is published, we can set very high standards," a West Coast editor added. "People in that field write a lot but they don't buy a lot of books themselves."

Because of supply and demand, fierce competition exists to have manuscripts in literary criticism published by university presses. Manuscripts that have become particularly difficult for authors to get published include studies of a single work, studies of works by less well-known authors, studies of foreign literature, studies of pre-modern literatures, and highly technical studies in such areas as linguistics and philology.

Another type of difficulty exists in the publishing of native American studies. While books of literary criticism at least have an identifiable audience, university press editors cited the extraordinary difficulty in defining the audience for native American studies. "Indians aren't really Indians at all," an acquisitions editor at a Western press said. "They are Apache, Sioux, Cherokee and

Navajo. They are individual and distinctive groups. So we tend to get narrow works with a limited audience."

Another complicator is that the two disciplines with the most active interests in native American studies -- historians and anthropologists -- have different research approaches. Historians primarily study written records, while anthropologists do field research. In fact, a common joke among editors is that the typical Indian family consists of a mother, a father, two children and an anthropologist. Jokes aside, the different methodological approaches cause real problems for scholarly publishers. "Historians and anthropologists speak different languages," one editor said. "They don't communicate. It leads to conflicts. There is definitely a fear on the part of scholars to attempt a broad synthetic work." It also is difficult to get suitable readers for cross-disciplinary works. "There's a difficulty in having a manuscript by a historian and sending it to an anthropologist," the editor said.

Ethnohistory serves as an academic bridge between history and anthropology, but not all scholars appreciate that approach. Said Beth Hadas, director of the University of New Mexico Press: "Their research methods differ greatly. Open-mindedness should be emphasized. The historian and the anthropologist need to work together more. We really can't study the Navajo culture without studying Navajo history. "Then," added Hadas, "there are art historians and anthropologists. Getting readers' reports can be difficult. They think they are encroaching on each others' territory."

Yet despite the list-building difficulties, native American studies remains a popular list-building field in the West. At a convention of Western university presses in 1985, Hadas reported that because of Indian land-claim issues, the New York Review of Books had declared Indians "in" this year. Hadas quipped: "In scholarly publishing in the West, Indians are always 'in.' But sometimes we have to go to New York to find out if Indians are really 'in.'"

However, native American studies are not consistent sellers. An editor at the University of Nebraska Press said there is "a decline in interest in native American studies." Minority programs at colleges and universities that began in the 1960s and 1970s are dying. "Students who once took native American studies courses are now doing computer programming," he said. "A year ago I was really pessimistic. Sales on Indian monographs were disappointing. Today I'm a little more optimistic. The key seems to lie in the topic." But editors complained that even the native American books that win critical acclaim still have mediocre sales -- defined by them as sales totaling only in the hundreds.

Editors reported that sales have declined in recent years among the more specialized books in the humanities such as literary criticism, classical studies, modern languages, Latin American history, philosophy, art criticism, art history and the fine arts. Books in these fields typically sell in the hundreds instead of the thousands. Sales in European history have plummeted as well, perhaps because fewer students in higher education have been taking foreign

languages. One university press director said his press published a title in European history and discovered first-hand the lack of a market. The book dealt with Polish foreign diplomacy. "It's a significant book," the director said. "That's why we published it." The book sold fewer than 500 copies. To publish the book, the press required a \$5,000 subsidy.

Because sales are an indication of vitality in scholarly areas, university presses look at sales figures in determining the rise and fall of subject areas. Editors said religious studies are on the ascent and political science monographs are on a slight decline. Books with a Soviet theme are selling, and so are titles dealing with the American presidency. But black studies, in the words of a university press director, "had its boom years and then dropped off."

Editors worry about the perception that they build their lists based on sales potential. That perception is not wholly untrue. But the reasoning goes deeper than that. A monograph that makes little, if any, contribution to knowledge usually won't sell and, correspondingly, a monograph that doesn't sell will be unable to fulfill its purpose of satisfying intellectual hunger.

So the key to scholarly communication is publishing in areas where there exists a large enough intellectual constituency to support publication. This level of publication support typically is identifiable through book purchases. William A. Wood, assistant director of the University of Minnesota Press, wrote (Oct. 1982, p. 32):

We deliberately are eschewing 'soft' subject areas, especially those in the humanities and social sciences in which the press has no strong backlists. Instead, we are moving into new fields where the chances for us seem brighter because of strong departments at our parent university, or because numbers of graduate students are rising, or because the fields are ones in which scholars buy lots of books.

University presses, then, find themselves with a mixed motivation in the decision to publish. They seek to contribute as fully as possible to intellectual life but within the natural constraints of budgetary life. August Fruge, director emeritus of the University of California Press, wrote (Oct. 1976, p. 9):

The university press ... exists to publish learned works; when it uses commercial methods and when it seeks books that will sell, it is walking close to the moral edge. And it must walk close. If it finds too few saleable books, it can go broke. If it finds too many, it can lose its soul.

Evolution in List-Building

List-building is continually evolving because intellectual pursuit and scholarly publishing operate within a cyclical dynamic. Scholars do pioneering work in a field. Editors take note of that interest and start publishing in the new field. Publication encourages more research; more research means more publishing. The cycle continues until, eventually, the new field is incorporated into existing disciplines or falls dead.

Women's studies, for instance, is a broad field of inquiry spanning less than two decades of scholarly pursuit. Those in

scholarly publishing believe women's studies will remain a strong list-building area for years to come because it now is becoming integrated into other disciplines. But women's studies also has retained an independent vigor of its own by branching out in new directions, creating new areas of inquiry.

A major offshoot in recent years is the integration of racial and economic issues into women's studies. "The women's movement is accused of being white and middle-class," Gloria Bowles, lecturer in feminist studies at Stanford University, told university press editors at a 1985 convention. "Books which are able to integrate race, class and sex issues are needed. We are turning down books for our classes that have only a white perspective."

The first women's studies program began at San Diego State University in 1970, at the forefront of the women's movement. At first, scholarship consisted of an 'add women and stir' approach. The evolutionary process in scholarship moved to disciplinary efforts to integrate women into existing studies. Women writers were brought into the canon, challenging the contours of the disciplines, looking at history not from a male perspective. For instance, the Renaissance historically has been viewed as a high point of artistic and intellectual activity. That was true for men but not for women, Bowles said. But now, women's studies is becoming cross-disciplinary or multi-disciplinary, challenging the rigorous boundaries between disciplines. There are the integrationists who want to get women into

the existing studies of man, to achieve a more balanced approach, and there are the separatists who strive for a new discipline of women's studies.

There's a lot in a name. In the early "add women and stir" days, it was frequently called "female studies." But Bowles said that had too much of a biological cast. Today most programs are called "women's studies," although that is criticized for its possessive name. San Francisco State calls its program "women studies." There is now a new name called "gender studies." These often are social scientists and sociologists for whom gender is a comfortable word; they are interested in studying both men and women. The criticism toward gender studies is that it doesn't recognize the power imbalance between men and women. A name growing in popularity is "feminist studies" -- the most radical name because of its political and philosophical connotations.

As women's studies arose as an area of intellectual inquiry, scholarly publishers began building lists in the field. Kathleen Ketterman, assistant director for marketing at the Indiana University Press, said that when the press published its first women's studies book, Suffer and Be Still: Women in the Victorian Age in 1972, the press had a book in search of a market or audience that barely knew it existed. As that audience developed, the Indiana Press became known by the discipline's adherents as a publisher at the forefront of women's studies.

Books on women's studies now comprise about 15 percent of Indiana's front list. Trumpeting itself as a leader in women's studies publishing, the press packs its direct mail brochures with such titles as Soviet Sisterhood, If All We Did Was To Weep At Home: A History of White Working-Class Women in America, The Female Experience and the Nature of the Divine and a book called Everywoman's Guide to Colleges and Universities that rates American colleges and universities on such criteria as number of women in leadership positions and women's athletic programs. Another, called We've All Got Scars, argues that little girls become second-class citizens and little boys become victims of a macho tradition in this nation's elementary schools. Another is Plains Woman: The Diary of Martha Farnsworth, 1882-1922, which the press' brochure calls "an intriguing look at how it felt to be a woman in a male-defined world that was undergoing tremendous cultural and technological change."

Once a press establishes a reputation in a field, prospective authors flock to it with related manuscripts. "Indiana was my first choice as a press," said Bowles, who has published with Indiana. "The reason was, they had published such excellent manuscripts in the area of women's poetry and I wanted my book to be among those books that I respect and that I had drawn for my own research."

At the University of California Press, 62 of the more than 3,000 titles are in women's studies. All but nine of those 62 have been published since 1980. Four California Press editors solicit manuscripts in the area of women's studies in such fields as the

classics, literature, social sciences, dance and sociology. "Women's studies books do sell and there is a growing market for them," said Sheila Levine, a California Press editor whose specialty is social and cultural history.

Much of women's studies publishing is of a feminist advocacy nature, Levine said, noting that university presses frequently debate the appropriateness of advocacy publishing. Ketterman of the Indiana Press said she is a believer in advocacy publishing. "Most of what we have published and called women's studies over the years can be loosely defined as any book about women, or written by a woman, or thought to have a female audience whether written by a man or woman. It's the add-women-and-stir theory of publishing," Ketterman said. "Feminist studies are quite another thing. They are books written from a feminist political perspective, incorporating or attempting to evolve a whole new feminist theory."

Bowles of Stanford said she, too, is a proponent of advocacy publishing. She said universities have not been value-neutral but have influenced the structure of knowledge through the years. "Man had been the norm, the universal. That kind of a legacy of over 2,000 years is not going to be erased in a few year's work," she said, adding that she views women's studies as a critique of the structure of knowledge. "I don't see women's studies as an academic exercise -- academic in the sense of useless. I look for books that seek to forge some bridges between learning and the lives of women."

People in publishing often see themselves as social change agents. By publishing books that overturn or challenge existing theory, editors can take their press' lists in certain directions that influence the cultural agenda. This is a central concept of their role as a gatekeeper of ideas.

Traditionally, the role of university presses is to preserve and disseminate the results of scholarly research. This remains the primary justification for their existence. But through the years, university presses have a reputation for displaying a social conscience. The University of North Carolina Press published books on the post-Reconstruction South that challenged the traditional Southern viewpoint. The University of Oklahoma Press published pioneering studies on the American Indian. Temple University Press has a reputation for publishing advocacy works with such titles as The Feminist Case Against Bureaucracy and Chaos on the Shop Floor: A Worker's View of Quality, Productivity and Management. Naomi Pascal, editor-in-chief of the University of Washington Press, said ample justification exists for editors to influence the direction of list-building (April 1985, p. 258):

What the university press imprint means -- or ought to mean -- is that the book will be not an unsubstantiated polemic but a carefully reasoned and meticulously documented presentation. These criteria permit a wide range of points of view but would exclude, I believe, a defense of racism, creationism, or any other of the persistent idiocies of our time. There may, however, be less clear-cut instances where an editor's own convictions affect what a press publishes.

A Penchant for Controversy

Just as some university presses welcome feminist studies because they overturn existing thought, scholarly publishers look for provocative works in philosophy or economics or history. The word "controversy" is a popular one among book publishers -- the nonprofit variety as well as their commercial counterparts. A book that becomes controversial not only may sell well, but it will challenge the intellectual contours of a discipline.

Cornell University Press calls its book Speculum of the Other Woman a "profoundly controversial book." Harvard University Press predicts that its book The Contentious French is "bound to be controversial" because it offers a "dazzling new interpretation of 400 years of modern French history." Of the book Contemplating Music, the Harvard Press says it "will spark controversy among musicologists of all stripes." The LSU Press calls its book The Normative Basis of Culture "undeniably ambitious and potentially controversial" among philosophers and social scientists.

University presses believe in publishing works that push a discipline in new directions. For instance, legal scholars have been debating two dominant themes in 20th century jurisprudence: legal positivism and utilitarianism. Legal positivism holds that the only rights and duties that exist are those explicit in the law. Utilitarianism holds that judges should decide cases on the basis of what is good for society -- in the words of 19th century philosopher

Jeremy Bentham, the greatest good for the greatest number. Harvard University Press has advanced this debate by publishing three books within a decade by Ronald Dworkin, a scholar who divides his time between Oxford University and New York University. In his 1977 Taking Rights Seriously, Dworkin provided a defense of the view that law is based not on public policy but on moral principle. In his 1985 A Matter of Principle, Dworkin discussed the interplay of politics and moral philosophy and the balancing of individual rights and the common good. Then in his 1986 Law's Empire, Dworkin presented a theory of law that the Harvard Press modestly predicted "will be studied and debated -- by scholars and theorists, by lawyers and judges, by students and political activists -- for years to come." University press editors believe it is part of their mission to publish reasoned works that cause debate in intellectual circles and stimulate the mental life of the culture.

But university presses are not immune from subject-matter intimidation. One editor who worked at an Ivy League university press in the 1970s remembered witnessing the editorial committee's rejection of a manuscript by Harvard geneticist Arthur Jensen, whose controversial thesis suggested that blacks may be genetically inferior to whites. "We got eight readings, all wildly different," the editor recalled. "We even sent it to a black biologist at Stanford. He wrote an impressive report strongly in favor of publication." But the editorial committee decided not to publish the book. "They were afraid of publication -- physically afraid," he said. "One board member

said he didn't want young blacks, who wouldn't understand why the school published the book, attacking him." Jensen's book eventually was published by Harper & Row.

Editors wrestle with ethical issues in publishing. In 1985, Duke University Press published High Treason, an account of the purges in the Red Army during the Stalin years. The manuscript, smuggled out of the Soviet Union, was the product of two Russians who gained access to secret documents. One is a computer engineer who now lives in New York; the other remains anonymously in the Soviet Union. The manuscript raised scholarly questions because, as Duke Press director Richard Rowson said, "Our peer reviewers said the manuscript couldn't be authenticated since the material comes from Soviet archives." But it was published because it offers insights that cannot be constructed in any other fashion.

Ethical dilemmas come in other forms. A University of California editor recalled sponsoring a work on a new technique for the artificial filtering of human sperm so as to produce offspring of the preferred sex. Several members of the editorial committee argued that the book should include a discussion of the ethics of the new procedure. But a philosopher on the committee disagreed, arguing that the editorial committee -- to be consistent -- would need to impose the requirement of ethical discussion on the Los Alamos Scientific Laboratory Series concerning weapons research (Miles, July 1984, p. 294).

University presses also can face political pressures. For that

reason, many university presses avoid contemporary politics. Political pressures can influence a list in other ways, too. One university press, after publication, was asked by the administration to provide readers' reports on certain books dealing with Marxism and other controversial topics. The administration never said anything, yet the request sent a message to the editorial staff. Editors said they also have been asked to consider manuscripts written by wealthy alumni and potential benefactors, but none have been forced to publish the works.

Another dilemma involves publication of books critical of the parent university. In 1979, the University of Washington Press published Cold War on the Campus, which told the story of academic freedom at the University of Washington during the McCarthy era. The book portrayed one of the current members of the editorial committee in a somewhat unfavorable light. The staff made the manuscript available to all editorial committee members in advance. The manuscript was approved unanimously.

Similarly, in 1986, the Yale University Press published a book that investigated Yale's anti-Semitic policies through the years. The book, Joining the Club, began as a sophomore term paper by Dan Oren, a 1979 Yale graduate who is the son of Israeli immigrants. Oren discovered in the Yale archives a folder labeled "Jewish Problem," containing a memo from the admissions chairman of 1922 urging limits on "the alien and unwashed element." The next year, the admissions committee enacted an informal quota that would hold Jewish enrollment to about 10 percent. The annual report in 1945 said: "The Jewish

Problem continues to call for the utmost care and tact. The proportion of Jews among the candidates who are both scholastically qualified for admission and young enough to matriculate has somewhat increased and remains too large for comfort." The restrictive policy was phased out beginning in 1960. Today, Jewish students account for about 30 percent of the Yale enrollment.

University presses welcome the scholarly debate that books may create, but they do not want to see the books themselves become controversial through challenges to their academic integrity. That type of controversy reflects negatively on the review process in scholarly publishing.

One of the more remarkable controversies swirled around David Abraham's The Collapse of the Weimar Republic: Political Economy and Crisis, published by the Princeton University Press in 1981. The book argues that German big business played a role in the downfall of the Weimar Republic, paving the way for Nazism. The book contends that German businessmen came to favor Hitler -- a view that scholars have squabbled about for decades. At the time of publication, Abraham was an assistant professor of history at Princeton. Eighteen months after publication, a Yale professor charged that Abraham had rewritten quotations and selected only portions of source documents that suited his purposes. For instance, Abraham had cited a German banker as calling the Nazis a "positive force" and telling associates "we should contribute to them and their efforts." Critics said the source documents showed that the banker did not use the word "positive" or

urge direct contributions. A University of California professor charged: "What Abraham has done disqualifies him as a member of the profession." Critics of Abraham wrote letters to universities where Abraham had applied for work after being denied tenure at Princeton, and job opportunities evaporated. Other historians then entered the fray, charging that Abraham's critics had gone too far and turned their criticism into a personal vendetta (Bowen, Jan. 14, 1985, p. 59).

Another unwanted controversy centered on a special Soviet edition of the Oxford Advanced Learner's Dictionary of Current English, published by the Oxford University Press. The Soviet edition of the dictionary defines capitalism as a social system "based on the exploitation of man by man, replacing feudalism and preceding communism." Communism is defined as "a theory revealing the historical necessity for the revolutionary replacement of capitalism." Socialism is defined as "the first phase of communism, a social system which is replacing capitalism." The Soviet edition gives no indication that the definitions have been altered, so users have the impression that the definitions are those that appear in Western editions of the dictionary. "We were very anxious that this dictionary should be published. We were in negotiations for 10 years," said an Oxford Press spokesman (Owen, April 10, 1985, p. 1). "In the end, the Russians would only agree to publish if we allowed changes to some sensitive definitions. Our negotiator considered that no Russians learned their politics from dictionaries, and a reasonable compromise was made."

The Impact of New Technology

More than just the frontiers of knowledge are undergoing expansion in scholarly publishing. Technology in the publishing world is creating new frontiers of its own.

An increasing number of university presses are taking the author's original keystrokes all the way through to bound book. Although no press now requires the submission of manuscripts in a machine-readable form, many university presses encourage authors whose manuscripts have been accepted for publication to submit the final work in a format suitable for direct conversion to type. Numerous other university presses, though, are adopting technological innovation more slowly, saying the money saved by capturing the author's keystrokes and converting them to type is fairly minimal at present.

One reason for this is that the smaller university presses deal with considerably less copy in a year's time than other print media, so economy of scale does not exist. Another reason is that a book publisher faces the added dilemma of computer non-standardization. At a computerized newspaper, textual matter goes from reporter to copy editor to graphic designer to the production staff within a standardized system with compatible equipment. But book publishing is organizationally diffuse and, until computer manufacturers design their systems and software to be compatible, each word-processed book is a new logistic puzzle for a book publisher. No single coding

structure exists for such basic elements as paragraph indentation, italics and boldface.

An author's word-processing, then, may offer relief from repetitive typesetting costs. But the cost savings, editors said, are partially countered by word-processing conversion costs. In addition, since authors can so easily create new edited versions, computer text-editing tends to invite constant changes in each stage of preparation after acceptance. As a result, a number of university press officials say the new technology is not yet worth the effort. An Eastern press director said: "It is a greatly overrated factor. It rarely saves dollars and creates additional proofing problems." A Midwestern director said: "We encourage it only if fully compatible with our typesetter's equipment."

The computer age, critics say, is turning authors into typesetters and editors into proofreaders. But the computerization of writing also has advantages for publishers and authors alike. Desktop publishing allows for the elimination of composition, and software helps authors in bibliographic control and indexing.

Beyond this, electronic publishing has the potential to influence the dissemination process as well as the composing process. By having a manuscript on disk, a publisher has the text in a transmittable form in the event it needs to be shared with an audience -- even an audience of one. "On-demand publishing" means producing copies to order instead of producing for inventory. In avoiding speculative printings, the on-demand publisher assumes no inventory risk and

defers all manufacturing expense until sales occur. By taking an author's original keystrokes to bound book and by deferring all printing costs until the time of sale, the new technology makes it possible to undertake low-risk publishing of books that have some scholarly value but that hold little market promise.

Scholarly publishers, though, see a dark underside to the glitter of this new technology. Amid the positives of potential savings both before and after publication, publishers recognize the potential for the work of an author to be transmitted to users without regard for the traditional gatekeeping process. Electronic publishing permits the elimination of the middleman between the author and the consumer -- the publisher. A bulletin-board concept of knowledge-sharing has no quality control mechanism, and editors say such direct source-to-user transmission of scholarship would doom publishing as it now exists. Not only do scholarly publishers collectively regulate what enters the channels for intellectual digestion, but editors say the books they publish are considerably better than the manuscripts they receive. It is this selection and editing process that separates publishing from mere printing.

Advances in technology are forcing a reappraisal of what publishing actually is. The Latin root of the word "publish" is "publicare" -- to make public. In the past, publishing was the monopoly of a few. Today, every person potentially is both a producer and a transmitter of information. In an essay on the impact of technology on scholarly publishing, a Rutgers sociology professor and

a commercial publishing business manager wrote (Horowitz and Curtis, April 1982, p. 212):

Today, anyone can make anything public simply by affixing words to a piece of paper and photocopying it. The same individual may distribute the paper or add it to a databank where it may be retrieved by users. Publishing can be performed by anyone who has the opportunity and ability to use the new technology to enter and retrieve information, from librarians to researchers in industry.

Technological innovation has influenced the very notion of property rights of intellectual discovery. The U.S. Copyright Law of 1978 acknowledges the implications of technological change by stating that copyright protection exists from the moment an idea is made permanent.

Technological innovation also is changing the character of relationships among authors, publishers and the marketplace. Libraries, as a primary marketplace for scholarly books, have been viewed traditionally as a storehouse for books and as a depository for the written word. A futuristic concept has the duplicating library someday superseding the circulating library. Rather than being a storehouse for books designed to be bought, shelved and lent, libraries would produce and then give away or sell copies of their holdings. Theoretically, the cost of making and disseminating copies "on demand" and then paying royalties would be less than the cost of storing and maintaining copies for circulation. This would make copyright and royalty control essential elements to the creation of a duplicating library.

In the traditional sense of the word, publishing means selecting works, printing them and then disseminating the works. Increasingly, scholarly publishing cannot keep up with the growth in research and writing. August Fruge, director emeritus of the University of California Press, recommends a two-tiered system of publication (Oct. 1978). He said the most significant of studies, and those most in demand, would deserve traditional publishing. For other writings and other research, another form of permanency such as microform, video disks, electronic journals or computer databases would be suitable as long as the material could be accessed by others. At some point, the judgment of research, especially in the humanities and social sciences, may no longer be tied to the book. Fruge predicts that those who want to evaluate young scholars on the basis of published books might one day use the measure of publishable manuscript -- that other forms of access may be regarded as respectable avenues of "publication."

Several university press directors said the academic review boards at some colleges and universities already have accepted books published in microform as credentials for promotion. The Office of Scholarly Communication within the American Council of Learned Societies reported (Jacobson, Aug. 6, 1986, pp. 21-23) that 43 percent of more than 3,000 scholars surveyed said tenure committees should consider refereed material such as microform as comparable to conventionally published material. The responses ranged from 32 percent among political scientists to 53 percent among those in the more difficult-to-publish fields of languages and linguistics.

Although authors face challenging odds in getting published, university presses at least are publishing more books than ever before. The 74 university members of the Association of American University Presses reported publishing 4,858 titles in 1984 and 5,531 titles in 1985 -- representing a 14 percent increase. This is the last year for which figures are available. In 1985, 54 of the 74 university presses published more titles than the previous year, five presses published the same number of titles, and the remaining 15 presses published fewer titles. University press directors and editors forecast continued expansion throughout the decade. Editors said the key strategies for expansion of their publishing programs are more aggressive acquisitions, more trade publishing and the creation of more series.

The 1960s was a decade of growth for scholarly publishing, thanks to the library prosperity and foundation subsidies. But the byword in the 1970s was "crisis," as university presses had to retrench in an effort to become more self-supporting. The 1980s have been another decade of growth as university presses have adopted commercial management techniques and have sought titles with broader sales appeal while reducing the size of lists in areas that have consistently failed to prove an ability to recoup publishing costs. This does not make university presses mere commercial presses in disguise. Again, compare the latest 10 titles from a typical New York publisher and a typical university press and the difference becomes obvious.

Scholarly publishing has grown exponentially within a single generation. More books have been published since 1950 than in all preceding years of civilization (Horowitz and Curtis, April 1982, p. 213). That fact is of concern to editors and scholars alike because the book explosion makes it increasingly difficult to stay abreast of intellectual currents, and it potentially forces scholars into further specialization in their reading. Some have suggested that too much is being published, and that scholarly publishers should not be so expansion-oriented. These critics suggest the need for a "literary birth control." The suggestion recalled the admonition of T.S. Eliot in 1933 (p. 20):

If people only wrote when they had something to say, and never merely because they wanted to write a book, or because they occupied a position such as the writing of books was expected of them, the mass of criticism would not be wholly out of proportion to the small number of critical books worth reading.

Opinion is divided over what this expansion in publishing has meant to the quality of what is published. One university press director in the Midwest said he fears for the future of scholarly publishing because of an increase in published titles and what he considers to be a decrease in the pool of publishable manuscripts. He believes it is easier now than five years ago to publish because almost every press is expanding. "Every press is trying to maintain current levels or higher. They need numbers," he said. "That has nothing to do with the merit of the manuscript." Another director added: "The educational system doesn't require as much as it used to.

For instance, texts used to contain Latin phrases. Now, many scholars know no Latin." Conversely, an editor for an East Coast university press said he doubts that less-worthy books are being publishing today. He worries, though, that manuscripts are getting rushed. "The pressure in academia to publish is real," he said, leading to a tendency to cut research short and rush a manuscript. Other editors believe the quality of manuscripts is as high or even higher than in the past because of improved standards of scholarly research. The challenge for them, these editors say, comes in the screening process. With so many quality manuscripts to choose from, editors must be careful to properly perform their roles as gatekeeper, ensuring that only what is considered the best of scholarship and writing is published.

The Future of Acquisitions

The acquisitions process is more of an art than a science. So much depends on the press' editorial personnel, the changing marketplace and the evolving nature of scholarship itself. There is an art to successful list-building that fulfills the scholarly mission while concurrently satisfying financial obligations.

These appear to be future directions in the university press acquisitions process:

* University presses will fill increasing portions of their front lists through active acquisitions, leaving even less room for author-initiated manuscripts and proposals. To get the best, presses

no longer can rely on reputation but must actively solicit.

* A larger percentage of university press lists likely will be built on advance contracts. As acquisitions editors compete to publish the work of senior scholars, advance contracts are a mechanism that will grow in popularity in the increasingly competitive fields. But this will require the cooperation of editorial committees willing to take risks with editors.

* The ratio of specialized scholarly monographs directed toward narrow academic audiences will decrease in list-building, particularly in the overpublished area of literary criticism. To shape the cultural agenda, scholarly publishing no longer can remain so specialized that it fails to reach the general reader.

* Scholarly publishers will be searching for works that synthesize, rather than particularize. Without works that show the relationship among disparate parts, scholarship risks becoming like the spokes of a wheel with no hub. Works that synthesize are desired ✓ by scholars in all fields and usually are good sellers. But only senior scholars usually are considered competent to do such broadly encompassing works.

* More university presses will gravitate into the uncharted waters of serious trade and fiction publishing. As commercial publishers abandon serious but non-scholarly works because of the quest for bestsellers, more university presses will consider these works as falling within their purview.

* The number of revised dissertations published as books will not

decrease -- because they represent the first publishable fruits of the work of scholars destined to become tomorrow's senior scholars. But as publication becomes more necessary for academic advancement, doctoral students will need to think more in terms of selecting a dissertation ✓ topic with broader appeal.

* University presses will rely more on series to establish a presence in list-building. To do so within the constraints of having typically small editorial staffs, these presses will lean more heavily on some forms of decentralized decision-making. The selection process for series, in particular, may become the full responsibility of a press-appointed scholar within a university department, or the series editor may be a scholar at another university.

* Competition for publishable manuscripts will become keener among university presses. As presses expand their title counts and expand their scholarly mission, the genteel profession will assume a more outwardly competitive nature. As the director of a smaller university press put it: "It won't be the Yales of the world that will succumb. Young scholars tend to migrate to those presses with prestige. The Yales of the world will keep expanding. It's the smaller presses I'm worried about. If you haven't established a presence in your field, you'll be left out in the cold. The competition is growing even keener."

University presses also will continue to adopt the ways of commercial publishing within the context of a scholarly list. On the business side, this will mean increased export sales, more emphasis on

subsidiary rights income and book clubs, and greater cooperative ventures in promotion and distribution.

University presses expect to lose money on at least some of the books they publish. Deficits on some titles are considered to be the price of disseminating new knowledge. But presses do try to make their titles self-supporting -- at least collectively -- within the concept of subsidized publishing. As one university press said: "Scholarly publishers are under a compulsion to achieve a rigid operating deficit as much as commercial publishers are under a compulsion to provide a profit to stockholders."

The mission of the university press is evolving because the mission of the commercial publisher has evolved. No matter how worthy a manuscript may appear, the serious commercial publisher needs sales in the thousands for a manuscript to be financially practical. University presses, because of their non-profit status, can afford to publish manuscripts with far less in sales.

Many books being published by university presses today would have appeared on a commercial list in an earlier time. University presses are coming to resemble the serious commercial houses of a quarter of a century ago, such as Knopf. As university presses fill the void left by commercial publishers, they leave a void of their own -- the small-sales scholarly monographs that, because of rising production costs and declining library sales, are economic suicide if published with too much frequency. Many such monographs now are published by commercial monograph houses that may stipulate camera-ready copy and

other cost-saving efficiencies. This type of scholarly publisher has emerged to publish many of the books that once might have been published by university presses when deficits mattered less. In a sense, this chain reaction reflects an evolution of the publishing role among commercial and non-profit presses alike. In the future, the roles could become more distinct, with major commercial houses publishing potential blockbusters, university presses publishing qualified manuscripts with expectations of modest sales, and smaller commercial monograph houses publishing the limited-market books with the cost-saving efficiencies of the new technology.

Scholars seem particularly most concerned about financial influences on editorial judgments. Editors, too, worry about this. Beverly Jarrett, executive editor of the Louisiana State University Press, told her colleagues at a university press convention:

Our publishing programs are not commercial undertakings whose value is measured on balance sheets. And we are not editors whose survival is dependent upon the economic and popular successes that occasionally come our way. We don't get fired if none of our books sell out this season....

Keeping those legitimate functions of the university press clearly in focus will, of course, help us to avoid sinking into the kind of ethical quagmire that one often associates with college athletics. From an initially very wholesome goal of cultivating the bodies as well as the minds of students, the vision of many athletic departments became so muddled that only lip service was paid to that original goal. Actions soon demonstrated another definition of purpose, when college athletes were excused from maintaining academic standards and paid or rewarded by another measure of success. This kind of duplicity -- the kind that says A is what's vital, but then rewards B -- created a moral wilderness that breeds first confusion, then cynicism.

For the university press, then, ... we must not say that scholarship and serious creative work come first whereas money or prizes or big names come second, if the way we conduct our operations says the opposite.

- University presses not only publish works that could seldom make a case for themselves in the commercial marketplace, but they are considered an essential adjunct to the creation of knowledge and the vigorous life of the mind. Scholarly publishing is seen as an indispensable component of higher learning. This is not surprising. After all, the rationale of a university press is to serve the world of learning and scholarship. The scholarly community serves as the press' primary constituency.

Citing the significance of the gatekeeping role in scholarly publishing, a Northwestern University professor wrote (Exum, Feb. 1983, pp. 125-126):

The scholarly press is a guardian of received knowledge as well as the expanding frontiers of knowledge. Thus, decisions about which manuscripts do and do not get published play a major role in what gets defined as knowledge, what is thus preserved or presented to a wider audience, and what is dismissed as trivial or not worthwhile.

The relationship between received and emerging knowledge is a precarious one, especially when emerging ideas may sharply challenge received wisdom. Works that contradict, criticize or reject dominant paradigms and traditions often take shape within a developing arena or school of thought little known or accepted by establishment scholars.

Interestingly, university presses operate within a system that theoretically balances the interests of received knowledge and

emerging knowledge. The editors themselves who make that initial in-house evaluation of a manuscript or proposal have a bias toward emerging knowledge. They prefer works that challenge the status quo because these will be the books that have the most potential for influencing intellectual currents. After all, without challenges to the status quo, scholarship would be a stagnant repetition of what already is known. Because of this, the acquisitions process encourages non-traditional ideas. The traditional way of looking at history or literary criticism or economics becomes the conservative, status quo approach.

Yet the scholarly publishing enterprise also is highly structured toward the status quo. Peer reviewers and editorial committee members tend to be established scholars in a field -- in fact, the very ones who may have built their careers on what is now called the status quo in their disciplines. Particularly in the selection of peer reviewers, editors must remain cognizant of this potential conflict of purpose. But editors get to select the peer reviewers for each manuscript under consideration, and editors look for scholars who would be open-minded to new directions within their discipline as long as the work fulfills the standards of scholarship.

So, editors with their preference toward emerging knowledge and scholars who play an essential role in preserving the quality of The Imprint combine to chart a path that seeks to expand disciplines but within an acceptable scholarly framework.

The bars are reasonably high to ensure that the books chosen for publication do meet certain standards. Nothing reaches print at a university press without meeting some acknowledged standard of scholarship as determined by experts in the discipline. Ostensibly, the more prestigious the press, the higher the standards. The problem isn't what is published but what is not. The scholarly gatekeeper not only selects what is permitted to enter the marketplace of ideas but, by default, denies the entry of other works into the marketplace of ideas. This determination plays a crucial role in the flow of knowledge within a culture.

To the benefit of scholarship, however, scholarly publishing has a variety of gatekeepers. If one publisher chooses not to place a manuscript in the marketplace of ideas, another publisher can do so. With the existence of dozens of university presses, along with a number of commercial houses that publish serious scholarship, a worthy manuscript -- with perseverance by its author -- should find a publisher.

The path to university press publication does follow certain norms -- for instance, the three-stage process of in-house evaluation, peer review and editorial committee approval. But decision-making occurs in individualistic terms. No two presses have identical sets of criteria for assessing manuscripts, and no two manuscripts will experience identical consideration.

Unquestionably, how a manuscript comes to the attention of an editor plays a significant role in decision-making. Senior scholars

who serve as brokers for the work of junior scholars boost chances for publication simply by persuading an editor to place a manuscript in the decision-making channels. After that, the manuscript is on its own. But for junior scholars, the hardest task simply is getting that initial consideration. Of course, some over-the-transom submissions and some blind proposals do eventually reach publication. But any technique that can lead an editor to make the initial overture -- such as having a senior broker or presenting a paper at a major convention or writing an article for a leading journal -- will enhance the chances for eventual book publication.

The acquisitions process, frankly, is not egalitarian and never will be. Ann Orlov, a former behavioral sciences editor at Harvard University Press, said it is a delusion that every well-researched and well-written manuscript has an equal chance to be considered and published. Nevertheless, most editors and many authors prefer to view the process as egalitarian anyway. Orlov wrote (1976, pp. 240-241):

I suspect that editors and naive authors hold to the equal-chance myth for the same reason that most of us teach our children that all men in the United States are equal before the law: it is an important ideal with an important social function. What really happens is sometimes fair and sometimes unfair, but without the ideal things would probably be worse.

The scholarly publishing enterprise certainly is imperfect, fraught with risks of overlooking the worthy. But university presses exhibit a commitment to intellectual discovery and this commitment pervades the acquisitions process. University presses seek to publish

the works that best fit their perceived missions, that best represent quality scholarship and that best satisfy the yearnings of the mental marketplace. By standing at the crossroads of the pursuit of intellectual discovery and the public consumption of that discovery, scholarly publishers serve as increasingly important gatekeepers for the mental life of a culture.

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APPENDICES

Appendix A: List-Building Areas of University Presses

Appendix B: Questionnaire Sent to University Presses

APPENDIX A

LIST-BUILDING AREAS OF UNIVERSITY PRESSES

U.S. Members of the Association of American University Presses (1985 New Title Output Listed in Parentheses)

UNIVERSITY OF ALABAMA PRESS (42)

History, political science, public administration, Judaica, linguistics, Southern studies, literary criticism, comparative literature, anthropology, archaeology, history of science and technology.

UNIVERSITY OF ARIZONA PRESS (38)

Anthropology, Southwest Americana, arid-lands studies, natural history, Mexican studies, native American studies, Asian studies, creative non-fiction. Submissions not invited in literary criticism.

UNIVERSITY OF ARKANSAS PRESS (8)

Biography, short fiction, poetry, translation, literary criticism, history.

UNIVERSITY OF CALIFORNIA PRESS (230)

African studies, anthropology, arts and architecture, Asian studies, biological sciences, classical studies, economics, film and theater, folklore and mythology, geography, geology, history, labor relations, language and linguistics, Latin American studies, literature, medicine, music, natural history and ecology, Near Eastern studies, philosophy, physical sciences, political science, religious history and interpretation, sociology, urban studies, women's studies.

CAMBRIDGE UNIVERSITY PRESS, AMERICAN BRANCH (887 overall)

Humanities, social sciences and natural sciences, with emphases in economics, economic history, European history, anthropology, archaeology, psychology, physical sciences, music.

CATHOLIC UNIVERSITY OF AMERICA PRESS (13)

American and European history, Irish studies, American and English literature, philosophy, political theory, social studies, theology. Submissions not invited in mathematics or natural sciences.

UNIVERSITY OF CHICAGO PRESS (262)

Sociology, anthropology, political science, business and economics, history, American and foreign literature, literary criticism, biological and physical sciences, mathematics, conceptual studies of science, law, philosophy, linguistics, geography and cartography, art history, classics, architecture, education, psychiatry and psychology, musicology.

COLUMBIA UNIVERSITY PRESS (130)

History, philosophy, American and foreign literature, Asian studies, film studies, women's studies, journalism, archaeology, anthropology, social work, sociology, political science, international affairs, business and economics, law, psychology, botany and other life sciences, geology, astronomy and space science, evolutionary studies, computer science. Submissions not invited in art history.

CORNELL UNIVERSITY PRESS (100)

Art, art history, Asian studies, belles-lettres, conservation, ecology, history, nature study, philosophy, political science, veterinary science.

DUKE UNIVERSITY PRESS (47)

American and English literature, literary criticism, American and European history, policy studies, Soviet and East European studies, Latin American studies, sociology and gerontology, economic history and theory, environment and energy, political philosophy, ethics and religion, psychology, music, cultural criticism, urban and regional planning.

UNIVERSITY PRESSES OF FLORIDA (27)

Literary theory, philosophy and political philosophy, regional botany, archaeology. Submissions are not invited in mathematics or medicine.

FORDHAM UNIVERSITY PRESS (14)

Humanities and social sciences. Submissions are not invited in mathematics, science, medicine or music.

UNIVERSITY OF GEORGIA PRESS (52)

American and English literature, Southern literature, American and European history, medieval studies, 18th century studies, sociology, anthropology.

HARVARD UNIVERSITY PRESS (107)

Humanities, social and behavioral sciences, natural sciences and medicine.

UNIVERSITY OF HAWAII PRESS (45)

Asian and Pacific studies in history, art, anthropology, sociology, philosophy, languages and linguistics, literature, political science, physical and natural sciences. Submissions are not invited in music or Latin American studies.

HOWARD UNIVERSITY PRESS (5)

Afro-American and African studies, humanities, visual arts, history, literature, sociology, anthropology, psychology.

UNIVERSITY OF ILLINOIS PRESS (82)

American history, working-class history, western history, American literature (especially contemporary poetry), American music, film studies, communications, child development, women's studies, black history, short fiction, poetry.

INDIANA UNIVERSITY PRESS (111)

Literary criticism, linguistics, semiotics, political science and public affairs, history, music, film, folklore, Soviet and Eastern European studies, women's studies, philosophy, art, African studies, anthropology, economics, fiction, Jewish studies, theater, religion, Afro-American studies. Submissions are not invited in law.

UNIVERSITY OF IOWA PRESS (2; 6 in 1984)

Literary criticism and history, short fiction, American history, German history, early music, archaeology and anthropology, natural sciences, history of photography.

IOWA STATE UNIVERSITY PRESS (27)

Aviation, agriculture, journalism, design, engineering, home economics, education, sciences and humanities, veterinary medicine.

THE JOHNS HOPKINS UNIVERSITY PRESS (107)

American and European history, Caribbean studies, classics, earth and planetary sciences, economic development, health policy administration, international relations, literary theory and criticism, history of technology and science, medicine, natural history, psychology and human development, public administration. Submissions are not invited in music, physics or chemistry.

UNIVERSITY PRESS OF KANSAS (19)

American history, American studies, presidential studies, social and political philosophy, political science and public policy, military history, agriculture, sociology, the Great Plains and Midwest.

KENT STATE UNIVERSITY PRESS (12)

History (including military, American diplomatic, Civil War, American cultural, women's), art history, medieval studies, American and British literature, science fiction and utopian studies, music, North American archaeology.

UNIVERSITY PRESS OF KENTUCKY (33)

American and European history, literature and criticism, political science, international studies, folklore, anthropology, sociology, Romance languages, Appalachians and the South.

LOUISIANA STATE UNIVERSITY PRESS (58)

Humanities and social sciences with emphasis on Southern history and literature, Southern studies, French studies, Latin American studies, poetry, fiction, music (especially jazz).

UNIVERSITY OF MASSACHUSETTS PRESS (34)

Afro-American studies, American studies, art and architecture, environmental studies, history, literary criticism, philosophy, poetry, political science, sociology, women's studies.

THE MIT PRESS (140)

Architecture, information theory and cognition, linguistics, philosophy, economics, business and management, computer science and artificial intelligence, engineering, material science, applied mathematics, physics, biology, neuroscience, astronomy, history and philosophy of science.

MERCER UNIVERSITY PRESS (48)

Religion, history, philosophy, with emphasis on the South.

UNIVERSITY OF MICHIGAN PRESS (40)

Humanities, linguistics, natural sciences, classics, social sciences, experimental textbooks.

UNIVERSITY OF MINNESOTA PRESS (35)

Literary and cultural theory, wildlife biology and ecology, psychometrics, health sciences, philosophy, Nordic area studies, Upper Midwest studies, general economics, American culture.

UNIVERSITY PRESS OF MISSISSIPPI (24)

American literature and history, Southern literature and history, political science, sociology, art and architecture, liberal arts. Submissions are not invited in mathematics.

UNIVERSITY OF MISSOURI PRESS (27)

Art history, conservation, ecology and natural history, history, literary criticism, poetry, short fiction, social sciences.

NAVAL INSTITUTE PRESS (36)

Naval biography, history, oceanography, navigation, military law, naval science textbooks, sea power, shipbuilding, nautical arts and lore.

UNIVERSITY OF NEBRASKA PRESS (80)

English literature, American literature, translation, economics, political science, music, the American West, the Great Plains, the American Indian, food production and distribution, agriculture, natural history, psychology, modern history of western Europe, Latin American studies.

UNIVERSITY OF NEVADA PRESS (12)

History, biography, anthropology and natural history of the West, Basque peoples of Europe and the Americas.

UNIVERSITY PRESS OF NEW ENGLAND (35)

Life and culture of New England, all scholarly areas, particularly those identified as strengths of the institutions represented in the consortium.

UNIVERSITY OF NEW MEXICO PRESS (50)

Social and cultural anthropology, archaeology, American frontier history, Western American literature, Latin American history, history of photography, Southwest and Rocky Mountain studies.

NEW YORK UNIVERSITY PRESS (75)

Economics, history, politics, New York City and State studies, psychology and psychiatry, the performing arts, literature and literary criticism, women's studies, Middle East studies.

UNIVERSITY OF NORTH CAROLINA PRESS (65)

American and European history, American and English literature, Southern studies, political science, sociology, religious studies, legal history, classics, music, urban studies, public policy, Latin American studies, anthropology, health care.

NORTHEASTERN UNIVERSITY PRESS (17)

American history, criminal justice, women's studies, English, French literary criticism, collected letters, poetry translations.

NORTHERN ILLINOIS UNIVERSITY PRESS (11)

American history, European history, Russian history, Latin American history, political science, British literature, American literature.

UNIVERSITY OF NOTRE DAME PRESS (44)

Philosophy, ethics, sociology, political science, history, theology, medieval studies, law and business, other liberal arts. Submissions are not invited in the hard sciences, mathematics or psychology.

OHIO UNIVERSITY PRESS (30)

19th century literary criticism, women's studies, history, sociology, philosophy, Western Americana. Submissions are not invited in the hard sciences.

OHIO STATE UNIVERSITY PRESS (18)

English and American literature, Romance literature, political science, sociology, anthropology, American and European history, philosophy, education, economics, biological science, law, geography, classics, poetry.

UNIVERSITY OF OKLAHOMA PRESS (56)

Western history, Indian studies, classical studies, language and literature, philosophy, energy studies, women's studies, art and archaeology.

OXFORD UNIVERSITY PRESS, AMERICAN BRANCH (910 overall)

Scholarly monographs, general non-fiction, Bibles, college textbooks, medical books, music.

UNIVERSITY OF PENNSYLVANIA PRESS (53)

American and medieval history, social linguistics, folklore, management, American studies, cultural anthropology, business, economic theory, medieval studies, philosophy, political science and public affairs, psychology and psychiatry, biological and physical sciences, literary criticism.

PENN STATE UNIVERSITY PRESS (39)

Art and architectural history, social sciences and humanities, natural history.

UNIVERSITY OF PITTSBURGH PRESS (35)

Humanities and social sciences, public health (especially mental health). Submissions are not invited in the hard sciences.

PRINCETON UNIVERSITY PRESS (142)

All scholarly areas, with strengths in natural science, art and archaeology, architecture, music, European history, Asian studies, film studies, Latin American studies, philosophy, political science, literature, poetry, American history, anthropology, sociology. Submissions are not invited in medicine.

RUTGERS UNIVERSITY PRESS (45)

Literary criticism, history, anthropology, science, sociology.

UNIVERSITY OF SOUTH CAROLINA PRESS (23)

Speech communication, religious studies, international relations, contemporary American literature, American military history, international business, industrial relations, physical education and recreation, marine science.

SOUTHERN ILLINOIS UNIVERSITY PRESS (43)

Humanities, with strengths in American and English literature, philosophy, science fiction, speech and rhetoric, journalism, education, sociology, political science, archaeology, anthropology, linguistics, botany and zoology.

SOUTHERN METHODIST UNIVERSITY PRESS (8)

American studies, American and Western literary criticism and history, folklore, anthropology, archaeology, international business and law, jurisprudence, biography, history and philosophy of religion, theology. Submissions are not invited in classical studies.

STANFORD UNIVERSITY PRESS (42)

Most areas of the humanities and social sciences and in the natural sciences and law, history, anthropology, literary criticism and theory, linguistics, political science, sociology, systematic botany and zoology, China and Japan studies, Latin American studies, Russian studies.

STATE UNIVERSITY OF NEW YORK PRESS (80)

Philosophy, religion, Middle East studies, Asian studies, work, women, linguistics, humanities, social sciences and sciences.

SYRACUSE UNIVERSITY PRESS (31)

New York studies, Iroquois studies, special education (learning disabilities and rehabilitation), contemporary Middle East, American history, international affairs, environmental management studies. Submissions are not invited in the hard sciences, mathematics, technical law, medicine, ancient history and the classics.

TEACHERS COLLEGE PRESS (36)

Scholarly, professional, text and trade books on education and related areas.

TEMPLE UNIVERSITY PRESS (30)

American studies and history, sociology, political science, health care, women's studies, social work and social policy, political economy, urban studies, black and ethnic studies, educational policy.

UNIVERSITY OF TENNESSEE PRESS (30)

American studies, history, political science, religion, anthropology, folklore, literature, women's studies, sports studies, Afro-American studies, native American studies, Appalachia.

UNIVERSITY OF TEXAS PRESS (60)

Humanities, social sciences and natural/physical sciences, translations of Latin American literature, archival and contemporary photography, poetry, Latin American studies, American folklore, Middle Eastern studies.

TEXAS A&M UNIVERSITY PRESS (26)

American and Western history, natural history, the environment, military history, economics, art, science, engineering, veterinary medicine.

UNIVERSITY OF UTAH PRESS (18)

Western history, anthropology, linguistics, Mesoamerican studies, Middle East studies, poetry, philosophy (human values and ethics), folklore.

UNIVERSITY PRESS OF VIRGINIA (57)

Scholarly nonfiction, with strengths in U.S. colonial history, bibliography, architectural history, American decorative arts. Submissions are not invited in education or psychology.

UNIVERSITY OF WASHINGTON PRESS (88)

Anthropology, Asian-American studies, Asian studies, art, marine sciences, music, art history, history and culture of the Northwest. Submissions are not invited in mathematics or law.

WAYNE STATE UNIVERSITY PRESS (23)

All scholarly areas of concern.

WESLEYAN UNIVERSITY PRESS (39)

Interdisciplinary studies, American history, American literature and thought, public issues, poetry and the arts, history, philosophy, religion, biography, social sciences, natural sciences.

UNIVERSITY OF WISCONSIN PRESS (59)

General scholarly titles.

YALE UNIVERSITY PRESS (149)

- Humanities, social sciences and natural sciences.

AFFILIATE MEMBERS

Presses Not Meeting Current AAUP Requirements for Full Membership

COLORADO ASSOCIATED UNIVERSITY PRESS (10)

Physical sciences (theoretical, atmospheric and space physics), natural history, ecology, economics, American history, agriculture, political science.

GALLAUDET COLLEGE PRESS (6)

Publications related to deaf communities or the education of the deaf.

TEXAS CHRISTIAN UNIVERSITY PRESS (14)

Humanities and social sciences, with emphasis on Southwest history and literature, American studies, religion, rhetoric and composition, sport, fiction, young adult books that emphasize Texas and the Southwest.

TRINITY UNIVERSITY PRESS (3)

Religion, translations, history, racial and ethnic studies, bibliographies.

UTAH STATE UNIVERSITY PRESS (7)

The West, history, economy of the West, folklore, agricultural history of West, biography, political science. Submissions are not invited in literary criticism.

APPENDIX B

QUESTIONNAIRE SENT TO UNIVERSITY PRESSES

MANUSCRIPT SELECTION AT UNIVERSITY PRESSES

1. How many new titles did your press publish in 1985?

2. These titles came to your press through which initial step?
(Use percentage estimates, with total equaling 100%)

_____ unsolicited manuscript came over the transom

_____ author initiated contact with press via query

_____ press initiated contact with author (active acquisition)

_____ press and author had a previous association

_____ other (please explain)

_____ 100% TOTAL

3. How many new titles do you foresee publishing in 1986?

4. Estimate the number of unsolicited manuscripts your press received during 1985:

5. How many of these unsolicited manuscripts did the editors like well enough to send to outside readers?

6. Estimate the number of queries your press received in 1985:

7. How many weeks does it normally take for your press to respond to a query?

8. How many editors are normally involved in the decision-making process in responding to a query?

9. Estimate the number of actual manuscripts your press invited for submission as a result of the author sending a query:

10. Now, estimate the number of manuscripts your press invited for submission as a result of active acquisitions efforts:

11. Overall, what happens to all of these manuscripts your press invites for submission? (Use estimates; total equaling 100%)

_____ rejected outright by the press' editors

_____ rejected following negative outside reviews

_____ rejected by the editorial board

_____ author withdraws submission / doesn't finish

_____ published (or scheduled to be published)

_____ 100% TOTAL

12. Turning to the outside review process, how many weeks on the average does it take for a reader to evaluate a manuscript?

13. A typical manuscript is evaluated by how many readers?

14. What responses did the readers give the manuscripts sent them in 1985? (Use estimates, with the total equaling 100%)

_____ recommended publishing/little or no revision needed

_____ recommended substantial revision before publishing

_____ recommended not publishing

_____ 100% TOTAL

15. How important are these factors in your decision to publish a scholarly work? (Circle one number for each statement)

1--essential
2--very important
3--somewhat important
4--not important

Author has Ph.D. or terminal degree	1	2	3	4
Author from Ivy League/major school	1	2	3	4
Author previously published a book	1	2	3	4
Author a "name" in his/her field	1	2	3	4
Book promises to be controversial	1	2	3	4
Book could be used as college text	1	2	3	4
Book promises to make a profit	1	2	3	4
Book complements the press' backlist	1	2	3	4

16. Estimate the percentage of your 1985 new titles that were revised dissertations:

_____ %

17. Estimate the percentage of your 1985 new titles written by first-time authors:

_____ %

18. Estimate the percentage of your 1985 new titles written by your own faculty:

_____ %

19. Does your press invite poetry submissions?

☐ yes

☐ no

☐ only in special cases (please explain)

20. Does your press invite fiction submissions?

☐ yes

☐ no

☐ only in special cases (please explain)

21. Estimate the percentage of trade books in your front list:

_____ %

22. Does your press require authors to submit manuscripts via a word-processing system?

☐ yes

☐ no

☐ no, but we encourage it

23. Does your press consider manuscripts submitted simultaneously to other presses?

☐ yes

☐ generally no, but we make exceptions

☐ never

24. How would you assess the level of competition for manuscripts among university presses?

☐ increasing

☐ staying the same

☐ decreasing

Please share the educational background of the press' director:

Institution	Degree	Major area of study

Now for the background of the senior acquisitions editor:

Institution	Degree	Major area of study

I may want to identify responses at times (presses that invite poetry submissions, presses that receive the most queries, etc.). If you prefer that your survey information remain confidential, check this box: ☐

Thank you. If you would be willing to talk with me about your press, please give your name and phone:

VITA

Paul F. Parsons was born in Kingsville, Texas, on January 5, 1952. His childhood years were spent in west Texas and his adolescent years in Little Rock, Arkansas, where he graduated in 1970 from Hall High School. He earned a B.A. degree in journalism and political science from Baylor University in 1974 and an M.A. in journalism from the University of Arkansas at Little Rock in 1983.

Parsons became a newspaper reporter for the Arkansas Democrat following graduation from Baylor. He joined United Press International in Little Rock in 1975, where he served for five years as a reporter and state Capitol correspondent. In 1980, Parsons became State Broadcast Editor for the Associated Press in Arkansas.

In 1983, Parsons was named a Fellow in the Religious Studies for Journalists Program at the University of North Carolina at Chapel Hill. He spent four months visiting fundamentalist Christian schools in 30 states, and the investigative study that resulted was to be published in book form by the Mercer University Press in late 1987.

In September 1983, Parsons entered the Ph.D. program in Communications at the University of Tennessee at Knoxville. He was in residence for two years and then accepted appointment in 1985 as the R.M. Seaton associate professor of journalism and mass communications at Kansas State University, where he remains as of this writing. He received the Ph.D. degree in Communications in June 1987.

Parsons and his wife, Mary Helen, have a son and a daughter.