Collections & Access Issues:
Report on Recent Activities of the Association of Research Libraries

Prepared for the 2004 ALA Annual Conference

Visit the ARL/SPARC Exhibit at Booth 853.   The ARL/SPARC meeting schedule at ALA Annual Conference is available at: http://www.arl.org/arl/ala04.html.

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1. Search for Director of ARL Office of Scholarly Communication Initiated
Recruitment of a new director for the ARL Office of Scholarly Communication (OSC) is underway. The position calls for an advocate for change in scientific and scholarly communication who has an understanding of how new technologies are shaping both formal and informal communications within and among the different disciplines. While we are not requiring a library degree, we are requiring a master's degree and a compelling vision of how libraries can partner with scientists and scholars to fulfill their needs and libraries' mission. This person should be able to work effectively with senior leadership in higher education, scholarly societies, university presses, and other ARL partners. The position description can be found at <http://www.arl.org/scomm/director_position.html>.

2. **Archive of SPARC/CARL Webcast on Institutional Repositories Available**
   ARL/OLMS is making available the archive of a live, interactive Web presentation on institutional repositories and their increasing importance to scholarly communication. The webcast, cosponsored by SPARC and the Canadian Association of Research Libraries and hosted by OLMS, took place June 10. It began with an introduction by Rick Johnson (Enterprise Director, SPARC) and included presentations by and discussion with Kathleen Shearer (Research Associate, CARL), Susan Gibbons (Assistant Dean for Public Services & Collection Development, University of Rochester, River Campus Libraries), and Daniel Greenstein (Associate Vice Provost for Scholarly Information, University Librarian for Systemwide Library Planning and the California Digital Library). The webcast archive will be available for two months following the event. See the Institutional Repositories Webcast home at <http://www.arl.org/training/webcast/ir/>.

3. **New Create Change Brochure Available**
   SPARC, ARL, and ACRL published the second print edition of the popular Create Change brochure. The new brochure's colorful design, larger format, and revised text present up-to-date statistics on the stresses facing scholarly communication and offers options for action by scholars. It reflects the gathering momentum of the open access movement and recommends ways that faculty action can bring about constructive change. The brochure can be distributed in campus mailings and used in presentations to university departments or at educational programs on scholarly communication. An electronic copy of the revised brochure is available on the Create Change Web site at <http://www.createchange.org/resources/brochure.html>. For further information or to place a large order, please contact SPARC's John D'Ignazio at <john@arl.org>.

4. **New Web Site Documents Academic Publishing Mergers**
   A new Web site commissioned by ARL and the Information Access Alliance documents mergers and acquisitions in academic publishing. "The Academic Publishing Industry: A Story of Merger and Acquisition" was developed by Mary H. Munroe, Associate Dean, Collections and Technical Services at Northern Illinois University. Ms. Munroe, formerly a business librarian, has published work previously about mergers, including "Which Way Is Up? The Publishing Industry Merges Its Way into the Twenty-First Century" (Library Administration & Management, 14, no. 2 (spring 2000): 70-78). The site can be found at <http://www.niulib.niu.edu/publishers/> and links are provided from the ARL scholarly communication site <http://www.arl.org/scomm/mergers/index.html> and the IAA Web site <http://www.informationaccess.org/>.

5. **Open Access Builds Momentum**
   Peter Suber took stock of community receptivity for open access writing that "2003 was the year that objections to OA shifted from ignorant (OA bypasses peer review, OA violates copyright) to skeptical, from belligerent to curious, from dismissive to constructive." He summarizes key OA developments of the year and rounds up a list of articles in "Open Access in the News." See "Open Access Builds Momentum." in *ARL: A Bimonthly Report of Research Library Issues and Actions from ARL, CNI, and SPARC*, February 2004 <http://www.arl.org/newsltr/232/openaccess.html>.

6. **SPARC and ARL Praise D.C. Principles for Free Access to Science**
   An alliance of leading library associations and public-interest advocacy organizations, including SPARC and ARL, issued a statement praising the Washington, D.C., Principles for Free Access to Science, announced in March by a coalition of 48 not-for-profit scientific, technical, and medical publishers. The statement issued by the Association of Academic Health Sciences Libraries (AAHSL), the American Association of Law Libraries (AALL), the American Library Association (ALA), the Association of College and Research Libraries (ACRL), the Association of Research Libraries (ARL), the Medical Library Association (MLA), the Open Society Institute (OSI), Public Knowledge, the Scholarly Publishing and Academic Resources Coalition (SPARC), and SPARC Europe acknowledges the contribution to science and scientific publishing made by learned societies and other nonprofit publishers. The 10 allied organizations, which collaborate in support of open access and are each exploring means to expand the availability of scientific literature, believe that the potential of open access may allow these learned societies and nonprofit publishers to disseminate their research to a wider audience. The statement is available on the SPARC Web site <http://www.arl.org/sparc/core/index.asp?page=f79>.

7. **Learning to Work Together - The Libraries & University Press at Penn State**
   Penn State's Nancy Eaton, Bonnie MacEwan, and Peter J. Potter describe the phases of building a collaborative relationship between the Penn State library and press. Building on experience leads to demonstrating the unique skills and abilities each player bring to the table, brings the press and the libraries closer, and develops a core of shared knowledge about the economics of a successful business model, the intellectual property issues, and how to manage complicated projects successfully. See "Learning to Work Together-The Libraries and the University Press at Penn State," in *ARL: A Bimonthly Report of Research Library Issues and Actions from ARL, CNI, and SPARC*, April 2004 <http://www.arl.org/newsltr/233/libpress.html >.

8. **Kit on Year of the University Press Mailed to ARL Members**
   ARL and AAUP sent each of their members a Year of the University Press Starter Kit in February. The kit will help campuses develop activities to raise the visibility of presses and encourage discussion of the role of the press in scholarly communication. Additional resources are available on the Year of the University Press Web site <http://www.aaupnet.org/arlaaup/>.

9. **ARL Members Respond to Plan for Digitizing U.S. Government Documents**
   In April, ARL mailed all member representatives a copy of a report "U.S. Government Document Retrodigitization Program Business Case." The report proposes that ARL, in partnership with other organizations, establish a cooperative national program that focuses the resources needed to create--and ensure the perpetual availability of--digital masters of U.S. Government documents originally created in analog formats. The report was accompanied by a memo from Ken Frazier (Wisconsin), Chair of the ARL working group developing the proposal, and Prue Adler, and included a brief survey asking ARL member representatives to indicate their willingness to participate in such a project. During the May ARL Membership Meeting, Ken Frazier reported that in response to this survey, 47 ARL libraries expressed interest

in participating in this endeavor, 5 have said they are not interested, and 8 have indicated they have questions. He and Judy Russell (GPO) addressed questions about the project and discussed why it is important for ARL to take a leadership role. Based on these discussions, the ARL Board of Directors endorsed the value of the retrospective digitization of U.S. Government documents and ARL's continued involvement in an investigation of the best means to accomplish this goal, encouraging the working group to continue to address the questions raised and to make a progress report in July. Since the May meetings, the Working Group on Digitizing Government Document Collections has continued to address the questions raised about the project. For example, to gain additional information concerning digitization costs and related issues, they are now identifying pilot projects for digitizing both standard and nonstandard format materials. In addition, members of the working group continue to identify and meet with potential partners for this initiative.

Members of the Working Group on Digitizing Government Document Collections are: Ken Frazier (Wisconsin) as Chair, Bill Gosling (Michigan), Charles Lowry (Maryland), Sarah Michalak (Utah), Lance Query (Tulane), and Carla Stoffle (Arizona). With the support of the ARL Executive Committee, the working group was formed in 2003 by ARL's Information Policies Committee, chaired by Lance Query (Tulane). For more information, contact Prue Adler <prue@arl.org>.

10. **AAU/ARL Global Resources Network: 2005 Financial Strategy & Updates**
 At the May 13 ARL Business Meeting, ARL President Sarah Thomas (Cornell), led a membership discussion on the options for a 2005 financial strategy for the AAU/ARL Global Resources Program. She reviewed membership support for ARL pursuit of the broad goal of strengthening North American access to international and foreign language resources. As of May 1, 76 ARL member libraries voluntarily contributed $1,500 each to provide bridge funding to support GRN during the current year with the understanding that it would become a core, dues-supported program in 2005. This voluntary funding, combined with a modest dues allocation, provides GRN with a 2004 budget for overall GRN activities plus funding to the Center for Research Libraries in order to provide administrative support for GRN projects that seek such support. Following the Business Meeting, the ARL Board reviewed the discussion and decided to continue to fund the Global Resources Network in 2005 through voluntary, individual member contributions. ARL directors will receive an e-mail outlining this GRN financial strategy and inviting expressions of their interest in making such a contribution.

 In other GRN news, on June 1, ARL transferred to the Center for Research Libraries (CRL) the responsibility for overseeing the administrative functions for the German Resources Project and the Latin Americanist Research Resources Project. An agreement, which was approved by the ARL and CRL Boards this winter and spring, provides ARL funding to CRL for oversight and operational support for the GRN projects that choose such support. CRL will also create synergies between these two projects and other international projects based at CRL.

Scott Van Jacob, Iberian and Latin American Studies Subject Librarian and

Head of the Collection Development Department of the Hesburgh Library at the University of Notre Dame, has assumed leadership of the Latin Americanist Research Resources Project (LARRP) as chair of the Advisory Committee. Scott has served as chair of the project's Serials Working Group since 1999 and directed the reprogramming of the LAPTOC journals database under the first cycle of the U.S. Department of Education TICFIA grant. LARRP is one of six area projects in GRN.

The AAU/ARL Global Resources Network May 2004 Update Report is now available at <http://www.arl.org/collect/grp/GRNupdateMay04.pdf>. For additional information or for information on joining one of the GRN projects, contact GRN Director Dan Hazen <dchazen@fas.harvard.edu> or GRN Co-Director Eudora Loh <dora@arl.org>.

11. **Exposing Hidden Special Collections: Survey Results Available**
In a survey conducted by the ARL Special Collections Task Force, 100 libraries from ARL, the Independent Research Libraries Association, and the Oberlin Group have identified nearly 450 special collections for which they are interested in cooperative approaches to processing archives, manuscripts, and rare books. The task force undertook the survey to encourage libraries to unite in processing collections in specific themes, time periods, and/or formats and to build momentum and secure funding for initiatives to reduce arrearages. The survey results may be browsed or searched by content themes (e.g., women, advertising, or American history between 1865-1918), format (e.g., pamphlets and printed ephemera), or content that highlights ethnic histories or cultures. In addition, libraries were invited to describe up to three other collections that are local priorities for processing. All records may also be searched by key words or by institution name. The survey results are available at <http://db.arl.org/SCsurvey/search.html>.

12. **New Uses for the World's Oldest Books: Democratizing Access**
Mark Sandler writes about the widespread accessibility of hundreds of thousands of digitized rare books and how this has been a democratizing force in education. He describes the Text Creation Partnership, established at the University of Michigan and supported by over 100 libraries worldwide, to work with partners such as ProQuest, Readex, the American Antiquarian Society, and Gales Publishing to create this digital corpora. See "New Uses for the World's Oldest Books: Democratizing Access to Historic Corpora," in *ARL: A Bimonthly Report of Research Library Issues and Actions from ARL, CNI, and SPARC,* February 2004 <http://www.arl.org/newsltr/232/textcreation.html>.

13. **ARL Endorses Digitization as a Viable Preservation Reformatting Option in Some Circumstances**
On May 5, ARL directors received an e-mail from Mary Case inviting feedback on a discussion paper prepared at the request of the ARL Preservation Committee: "Recognizing Digitization as a Preservation Reformatting Method." The ARL Preservation Committee, chaired by Bill Gosling (Michigan), believes that the overwhelming advantages of digitization for access, along with the emerging consensus around best practices, argue for support by the library community of digitization as a viable preservation reformatting strategy. The committee offered this document as a first step in building that community support and is

committed to facilitating the development and implementation of policies, standards, and best practices where they do not currently exist. The draft was prepared on behalf of the committee by staff at the University of Chicago and the University of Michigan and benefited from the comments of a number of additional preservation staff and funding agency staff. ARL directors discussed the draft paper on May 12 at a briefing during the ARL Membership Meeting and also at the ARL Preservation Committee meeting. There was considerable support in these discussions that digitization is a viable preservation reformatting strategy for some, if not all, materials. There was also support for ARL to revise the discussion paper based on the comments received and to use it as a catalyst to encourage community use of standards and best practices in this area.

Based on these discussions, the ARL Board accepted the ARL Preservation Committee discussion paper and endorsed digitization as an acceptable preservation reformatting option under some circumstances. The Board agreed with the paper's recommendation that ARL take a leadership role in encouraging community acceptance and use of digitization standards and best practices and encouraged ARL staff to secure discussion paper endorsements from other organizations with allied objectives. For more information, contact Judith Matz, ARL Communications Officer, <judith@arl.org>.

14. **Heritage Health Index Survey on Preservation Begins in July**
The Heritage Health Index (HHI) survey is being sent to 16,000 archives, historical societies, libraries, museums, and scientific organizations nationwide with the aim of producing—for the first time—a national picture of the state of artistic, historic, and scientific collections held publicly in this country. The Heritage Health Index will provide baseline information that is needed to guide future preservation planning and programs, target urgent needs for increased funding, and establish a more secure future for the nation's cultural heritage. The results and recommendations from the survey will be distributed widely and given to key national and state policy makers. The data will also give collecting institutions and their leadership a context in which to view their collections' condition and preservation needs. The HHI has received major funding from the Institute of Museum and Library Services (IMLS) and the Getty Grant Program with additional support from the Bay Foundation, Samuel H. Kress Foundation, Peck Stacpoole Foundation, and Gladys Krieble Delmas Foundation. ARL was a member of the Institutional Advisory Committee that helped shape the HHI. For more information, check the Heritage Preservation Web site at <http://www.heritagepreservation.org/programs/hhihome.htm>.

15. **Papers from Sound Savings Conference Now Online**
Most of the papers from the Sound Savings conference held in July 2003 are now available on the ARL Web site <http://www.arl.org/preserv/sound_savings_proceedings/> and a print version of the papers will be available during the summer. The audio preservation conference was cosponsored by the Preservation and Conservation Studies program at the University of Texas at Austin School of Information, the Library of Congress, the National Recording Preservation Board, and ARL. The two-and-a-half-day program featured talks by experts in audio preservation on topics ranging from assessing the preservation

needs of audio collections to creating, preserving, and making publicly available digitally reformatted audio recordings. For further information, please contact Judith Matz <judith@arl.org>.

16. **Scholars Portal Project at LITA Preconference on Portals**
ARL's Forum on Portal Applications, usually held the Friday morning of the ALA conference, will not be held this June. Instead, participants are encouraged to attend the all-day LITA preconference, "Portals in Libraries: A Symposium," scheduled for Friday, June 25. Sarah Michalak (Utah) and Mary Jackson (ARL) will provide an update on the Scholars Portal Project. For more information, contact Amos Lakos (UCLA) <aalakos@library.ucla.edu> or visit the ALA Web site <http://www.ala.org/ala/lita/litaevents/annual2004orlandofl/LITAPreconfs.htm>.

17. **Scholars Portal Project Update**
The seven ARL member institutions collaborating with Fretwell-Downing, Inc., (FD) on the Scholars Portal Project have implemented the FD software. Arizona State University, University of Arizona, Iowa State University, and the University of Utah have launched the Scholars Portal search capability campus-wide. Dartmouth College, the University of Southern California, and the University of California, San Diego have limited releases. The institutions have agreed on priorities for the three years of development contributed by FD and continue to prioritize resources to be made available through the portal. The current status report may be found at <http://www.arl.org/access/scholarsportal/SPupdateMay04.html>.

18. **Portal Applications Working Group Issues Survey Report**
The ARL Portal Applications Working Group completed its work with the issuance of the report, "The Current State of Portal Applications in ARL Libraries." The report summarizes the survey of ARL members on the application of search engines and other resource integration tools and services. The survey, and follow-up interviews with library directors and senior staff, explored how libraries were implementing and offering cross-resource searching, customized data mining, Web-page personalization, and support services such as online reference, links to learning management systems, interlibrary loan, etc. The report may be found at <http://www.arl.org/access/portal/>.

19. **Serials Trends Reflected in the ARL Statistics 2002-03**
Martha Kyrillidou takes a look at trends in serial unit costs and expenditures from 1986 to 2003 based on the data in the annual ARL Statistics reports, and at trends in the environment that are not measured by these numbers. She concludes that the slow down in the growth of serials unit costs may be evidence that the academic community is beginning to behave like an informed consumer, looking for good deals and that are sustainable and supporting the tailoring of subscription packages to increase value for money. See "Serials Trends Reflected in the ARL Statistics 2002-03," in *ARL: A Bimonthly Report of Research Library Issues and Actions from ARL, CNI, and SPARC*, June 2004 <http://www.arl.org/newsltr/234/serials.html>.

20. **Spring 2004 LibQUAL+™ Survey Collects Data from Over 100,000 Users**
Aggregate data from the spring 2004 LibQUAL+™ survey show that over

100,000 responses were gathered from users at 202 participating libraries. Survey results have been distributed in PDF format on a rolling basis since late April, via the project web site. Survey results meetings will be held on June 26 during ALA Annual in Orlando, FL and on July 7 in Brighton, U.K. In addition, two sessions of the "LibQUAL+™: Process Management" workshop will be offered in Orlando on June 28 for those who are interested in participating in future surveys. For more information on these events, see the project Web site <http://www.libqual.org/>.

21. **Effectiveness of User-Initiated ILL/DD Services Confirmed**
   User-initiated interlibrary loan (ILL) and document delivery (DD) services of North American research libraries provide better service to users than mediated ILL/DD services. This is one of the conclusions of the two-year study of mediated and user-initiated ILL/DD services in 72 North American research, college, and governmental libraries. In most cases, user-initiated services have lower unit costs, higher fill rates, and faster turnaround times than mediated services. The mean borrowing unit costs for five user-initiated services ranged from $2.39 to $14.70, compared with a mean of $17.50 for mediated ILL/DD. Mean lending unit costs for these five ranged from $3.27 to $12.06, compared with the mean $9.27 for mediated ILL/DD. The findings are reported in *Assessing ILL/DD Services: New Cost–Effective Alternatives*, which also includes detailed information on the characteristics of high-performing libraries and a series of recommendations on improving local service. The report is forthcoming from ARL publications. Order information may be found at <http://www.arl.org/stats/newmeas/index.html>.

22. **Libraries Dealing with the Future Now**
   Arizona's Joseph Brewer, Sheril Hook, Janice Simmons-Wellburn, and Karen Williams challenge libraries to set aside "muddling through strategies" in response to fiscal difficulties and instead take actions that will transform the library. Their article summarizes assumptions about institutions of higher education by drawing on the work of the Project on the Future of Higher Education, and assumptions about the transformed (or transitioning) library by drawing on discussions at the ACRL 2004 conference and at a Tucson retreat. They conclude that "libraries are positioned well for transformation" and highlight examples of library strengths in six different areas including development of institutional repositories, new knowledge products, and fostering of student learning. See "Libraries Dealing with the Future Now," in *ARL: A Bimonthly Report of Research Library Issues and Actions from ARL, CNI, and SPARC*, June 2004 <http://www.arl.org/newsltr/234/dealing.html>.

23. **Libraries Investing in the Future First- Some Practical Suggestions**
   Taking to heart the challenge of the University of Arizona authors to take actions that transform the library, Utah's Margaret Landesman offers some practical suggestions for implementing transformative strategies by using the library materials budget as an investment fund. "Think about library materials prices in the broadest context," she writes, giving examples of why it is the price of the serial that should be considered, not the price increase, and the importance of taking institution-wide costs into consideration. "Buy bundles only when they contain quality content and are cost effective by saving staff time." "Support all publishers who demonstrate good

practices."   "Recognize that the answer to meeting user needs may not always be more subscriptions."   "Consider an institutional repository as part of your investment strategy." Bottom line: Landesman calls on librarians to "develop new mental models for making decisions about how to invest limited resources. Year to year decision making no longer works; we need to act strategically for the long term." See "Libraries Investing in the Future First- Some Practical Suggestions," in *ARL: A Bimonthly Report of Research Library Issues and Actions from ARL, CNI, and SPARC*, June 2004 <http://www.arl.org/newsltr/234/investing.html>.

24. **Systemic Change in Research Institutions: Proceedings Available**
The ARL membership met in Tucson, Arizona, May 12-14, for a program on "Systemic Change in Research Institutions." Research libraries are changing for many reasons including severe budgetary cutbacks, new expectations of students, demands for public accountability, and transformations enabled by technological networks. Managing these pressures and implementing the necessary changes to preserve the best and support innovations is a tremendous challenge for leaders of these institutions.

   The program opened with an examination, by Vice Provost Christina Maslach and Associate University Librarian Patty Iannuzzi, of UC-Berkeley's strategy to transform teaching goals and pedagogy. Alan Guskin, Co-Director of the Project on the Future of Higher Education, spoke about the transformation of campuswide support services, including libraries, and Kevin Guthrie introduced Ithaka, a recently launched not-for-profit organization supported by the Mellon, Hewlett, and Niarchos Foundations, which aims to accelerate the development of sustainable initiatives that use new technologies to benefit higher education. A critical element of the academic research institution that has been resistant to change is the process for faculty promotion and tenure. Leigh Estabrook, University of Illinois at Urbana-Champaign, reported on the results of her inquiry for the CIC on the status of book publication as the "gold standard" for P&T committees. Concluding the program, Macquarie University's Neil McLean spoke about strategies for organizational and technological change that support learning in the new electronic environment of the 21st Century research institution. Presentations, papers, and slides are available at <http://www.arl.org/arl/proceedings/144/>.

25. **New Recruitment Tool Available for Academic and Research Libraries**
The joint ARL/ACRL Task Force on Recruitment to the Profession announced the availability of a new video, "Faces of a Profession," that highlights the roles of academic and research librarians and the satisfactions to be realized in the profession. It includes interviews with academic librarians who discuss what they do and why they made their career choices. The video is available at <http://www.acrl.org/ala/acrl/acrlissues/acrlrecruiting/recruitingvideo.htm>. For more information, please contact DeEtta Jones <deetta@arl.org>.