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ABSTRACT

This document consists of six issues of the ARL (Association of Research Libraries) newsletter, covering the year 1999. Each issue includes some of the following sections: "Current Issues"; reports from SPARC (Scholarly Publishing and Academic Resources Coalition), Coalition for Networked Information, Office of Leadership & Management Services, and Office of Scholarly Communication; "Diversity"; "Access Services"; "Statistics & Measurement"; "Federal Relations"; "ARL Activities"; and a calendar of events. "Current Issues" articles cover: provosts' solutions to the journals crisis; what the Digital Millennium Copyright Act and Term Extension Act mean for the library and education community; distance education and the copyright law; measuring the cost effectiveness of journals; and the impact of publisher mergers on journal prices. One special issue (October 1999) focuses on the AAU (Association of American Universities)/ARL Global Resources Program. (MES)

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# ARL: A Bimonthly Newsletter of Research Library Issues and Actions, 1999

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By G. Jaia Barrett, Ed.

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ARL

A BIMONTHLY NEWSLETTER OF RESEARCH LIBRARY ISSUES AND ACTIONS

February 1999

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# PROVOSTS PROPOSE SOLUTIONS TO JOURNALS CRISIS

*by Mary M. Case, Director of the ARL Office of Scholarly Communication*

*It is time we . . . focus on panaceas, for this crisis is growing to the point that scholarship and education will be damaged significantly if we do nothing.*

With these words, University of Kansas Provost David E. Shulenburger prefaced his proposal to solve the journals crisis—the creation of the National Electronic Article Repository (NEAR), a centralized, public-domain server of faculty works. Shulenburger argues that by requiring authors' works to be submitted to NEAR within 90 days of publication, publishers would be forced to reassess the value they add and reduce prices accordingly.

Shulenburger presented his case at the 133rd ARL Membership Meeting held last October in Washington, DC. ARL member directors also heard from Charles E. Phelps, Provost of the University of Rochester, who offered what he characterized as a complementary solution. Phelps is a proponent of taking advantage of the electronic environment to separate functions currently performed by the system of journal publication. Phelps believes that by paying scholarly societies to conduct peer evaluation of manuscripts, functions such as publication and dissemination can be left to other entities, e.g., discipline- or university-based servers. This separation, or "decoupling," of functions breaks the link between the peer review process, which is essential to the academic enterprise, and the publication of a work—a link that is exploited by many publishers, as evidenced in their pricing practices.

The following pages include excerpts from the talks of both Shulenburger and Phelps, focusing primarily on the explanations of their proposals. In their presentations, however, both preceded these explanations with descriptions of the journals crisis and key components that any solution must include. Shulenburger noted that he "no longer believes that solutions that fail to deal with ultimate ownership of scholarly communication, i.e., copyright, are viable." He notes that scholarly articles have market value—as demonstrated by the pricing practices and extraordinary profitability of commercial publishers. He is concerned that non-profit scholarly societies also recognize this market value and, judging by data collected at Kansas, have begun to exploit it, as well. Shulenburger believes that limiting the rights that faculty authors can transfer to publishers (which would be required for the establishment of NEAR) limits the ability of publishers to control and exploit all possible value from journal articles.

Phelps concurs that the market value of journals is being exploited by publishers. He characterizes the issue as "not whether the journals provide valuable services—they do without question—but rather whether the terms of trade are appropriate." Phelps reviews several steps that the university community should take: bringing faculty more closely into the collection decision mechanisms; creating criteria for libraries that reward access and consortial activity; evaluating faculty scholarship on the basis of quality, not quantity; and modifying the usual practice of total assignment of property rights. But he concludes that "the issues of journal pricing can only be resolved by systematic and widespread introduction of vigorous competition into the world of publishing...." Phelps believes that it is up to universities to introduce this competition and sees the decoupling proposal as one possible alternative.

ARL and the authors of these papers encourage serious consideration of these proposals.

# MOVING WITH DISPATCH TO RESOLVE THE SCHOLARLY COMMUNICATION CRISIS: FROM HERE TO NEAR

*by David E. Shulenburger, Provost, University of Kansas*

*The following is an excerpt from a presentation at the 133rd ARL Membership Meeting held in October 1998 in Washington, D.C. Text of the complete talk can be found on the ARL website at <http://www.arl.org/arl/proceedings/133/shulenburger.html>.*

My perspective is that of the provost of a research university. We place high value on the library because of the obligation to preserve knowledge for the future and because of the instrumental value the library has both in educating our students and in making possible our contribution to the production of new knowledge through research.

I became actively involved in the scholarly communication crisis because the KU faculty became alarmed by the annual notice that some serials would have to be canceled and because fewer of their requests to purchase new serials and monographs were being granted. Faculty alarm grew as lack of access began to limit their ability to access published research and even to assign readings to graduate students. We responded as you did, with some increased funding, increased interlibrary loan activity, cooperative buying ventures, use of electronic document delivery, etc. But these responses were palliatives, not solutions. Access to scholarly communication is being limited by the explosion in cost and increases in sources available.

After a few years of the librarians' work to explain the issues and my speaking on a piecemeal basis about the nature of the problem, I chose to discuss it in our fall 1997 opening faculty convocation. Key to any success was defining the problem confronting us. It is not "the library problem" or "the provost's problem," but "the scholarly communication problem." The address was effective. KU faculty are now generally aware that extraordinary costs of scholarly communication must be controlled and new vehicles must be created to gain access to and preserve the burgeoning volume of available scholarship if we are to maintain access to important scholarly information.

Having said that, I must admit that I did not deliver a panacea. I merely helped faculty understand the parameters of the problem and suggested some efforts they could take individually and through their scholarly organizations to keep the problem from growing worse.

It is time we do focus on panaceas, for this crisis is growing to the point that scholarship and education will be damaged significantly if we do nothing.

## The Proposal

My proposal is simple: We must find a way of requiring that when a manuscript prepared by a U.S. faculty member is accepted for publication by a scholarly journal, a portion of the copyright of that manuscript be retained for inclusion in a single, publicly accessible repository after a lag following publication in the journal. While the devil is in the details, the details are not important to the principle of my proposal. Moderate alteration of the details I will describe would still leave my proposal a viable solution to the problem we face.

At present, essentially all scholarly journals require that all rights to copyright pass from the author to the journal when a manuscript is accepted for publication. In this proposal, only the exclusive right to journal publication of the manuscript would pass to the journal. The author would retain the right to have the manuscript included in the National Electronic Article Repository (NEAR) ninety days after it appears in the journal. By federal law, by funding agency stipulation, or by contractual agreement with the university employer, the faculty member's published article would be transmitted to NEAR upon its publication. NEAR would index manuscripts by author, title, subject, and the name of the journal in which they appeared. (The electronic form would be searchable on many more dimensions.) NEAR would see to it that articles are permanently archived, thereby assigning responsibility for the solution to another problem brought to us by the electronic age. NEAR could be funded by universities through "page charges," per article included, by federal appropriation, by a small charge levied on each user upon accessing articles, or by a combination of these methods.

I do not expect that this plan will generate substantial opposition from faculty members, as it guarantees them access to all scholarship published by U.S. faculty members wherever they happen to be located or employed. The proposal by its universality addresses the fear now extant that any attempt by faculty members to withhold any part of the copyright will lead journals to reject manuscripts. If the requirement to withhold a portion of the copyright for purposes of having it included in NEAR were ubiquitous in U.S. universities, no journal, domestic or foreign in origin, would cut itself off from the possibility of publishing all work arising from U.S. faculty. Thus, no U.S. faculty members would need fear that their manuscripts would be rejected because of partial copyright retention.

Of course, much scholarship is generated outside of the academy and by scholars abroad. If journals find that the work of U.S. university authors must appear in NEAR, surely they would find little reason to oppose inclusion of all their articles in NEAR. The current U.S. government requirement that only a portion of the copyright of articles authored by its employees be surrendered surely would quickly be modified to require inclusion of such articles in NEAR. Employees of private firms commonly must receive clearance from their employer before they publish an article based on their work. It would seem reasonable that once one decides that something a firm paid to produce can be

published, granting wider exposure by including the article in NEAR would be acceptable. Thus, it is reasonable to expect that work published in U.S. journals by international scholars or by government or private scientists would be included in NEAR.

Journals now generally have exclusive ownership of the copyright to manuscripts they publish nearly into infinity. Under my proposal, this exclusive ownership right would be truncated to a period of 90 days. While 90 days is arbitrary, in my view, it is enough time to leave sufficient value with the journals. Journal subscribers will continue to pay for more timely access to information. But free or low-cost access after 90 days would surely depress the extraordinarily high prices now charged by some journals and curb the publishers' ability to increase those prices seemingly without limits. Since all scholarly journal articles would pass into the public domain in 90 days, individuals, libraries, agencies, and businesses would choose to subscribe only to those journals where timely access justified the cost. I suspect that with reasonable pricing most journals would pass this test. Similarly, new journals would be free to spring up, but their impact on library costs would be tempered by the reality that the material they contain would be in NEAR 90 days after publication.

In response to proposals that bear some of the elements of this one (for example, see Bachrach et al. in *Science* 281 [Sept. 1998]: 1458), scholarly journals often proclaim that they add value through their refereeing, editing, printing, etc., and therefore deserve to reap the fruits of their efforts by retaining exclusive rights to articles. I do not deny that journals add value. Furthermore, I believe that any solution that attempts to eliminate journals would do scholarly communication a great disservice. In my field, the title *American Economic Review* tells the reader a great deal about the quality of the articles within. In an age with more information available than time to read it, every screening aid of this nature is valuable. What I do deny is that journals are entitled to all the value of an article. What they are entitled to is the value that their refereeing, editorial, and publishing processes added. As I illustrated above, both for-profit and non-profit publishers are raising prices far more rapidly than their costs are increasing in the effort to gain all the economic value in the article that they publish, not just the value added.

Without universities that pay the salaries and contribute the space, supplies, and equipment to scholars, much less new knowledge would be generated. Universities receive the funds to make expanded knowledge creation possible from all levels of government, and from foundations, private contracts, and tuition paid by students. The majority of the value added by universities comes from these sources and it is time that an appropriate portion of this value be claimed on their behalf to ensure future creation and transmission of knowledge. This proposal returns the appropriate proportion to universities while allowing others who have marginally added value to be compensated for doing so.

How do we get from here to NEAR? An easy solution would be the passage of a federal law requiring that the work published in scholarly journals by U.S. university faculty members be deposited in NEAR within 90 days of the date of its publication. A variant would be to require that all work arising out of federally funded research subsequently published in a scholarly journal be deposited in NEAR. I would welcome the former and cannot envision any serious political opposition to the latter. NEAR, of course, would have to be created by the same legislation. Federal agencies as a condition of research grants and contracts also could require deposit of resulting articles in NEAR.

Alternatively, an organization like ARL, AAU, NASULGC, the Library of Congress, or a private foundation might establish NEAR. Then, university by university, we would have to pass copyright ownership policies that require deposit of journal articles in NEAR. We in Kansas are moving in this direction in the hopes that such a vehicle will soon be created. The intellectual property policy that will be considered by the Kansas Board of Regents in October and November includes the following[1]:

> Upon the establishment of national governmental or nonprofit entities whose purpose is to maintain in an electronically accessible manner a publicly available copy of academic manuscripts, the Kansas Board of Regents will review each entity and upon determination that providing the manuscripts will not jeopardize the publication of articles or infringe on academic freedom, require the creator(s) to provide the appropriate entity a limited license for the use of each manuscript.

I add this proposal to those already on the table. There is room for multiple approaches. Separation of review from publication is compatible with this proposal and the experiment with that concept should continue. The very admirable SPARC project of ARL has the possibility of quickly addressing cost problems in specific areas and also deserves support. But any proposal that does not guarantee the ultimate right of the academy to inexpensive and open access to the scholarly communication it generates will not solve our problem. We must deal with the thorny problem of copyright ownership. I believe I have outlined a proposal that does so while protecting the legitimate rights of all who make scholarship possible.

Please evaluate this proposal and either help perfect or reject it. Finally, let me thank ARL for its constant effort to draw attention to this problem and for helping to shape solutions.

[1] This policy was approved in November 1998, see <http://www.ukans.edu/~kbor/intelrev.html > for the full policy.

# ACHIEVING MAXIMAL VALUE FROM DIGITAL TECHNOLOGIES IN SCHOLARLY COMMUNICATION

*by Charles E. Phelps, Provost, University of Rochester*

*The following is an excerpt from a presentation at the 133rd ARL Membership Meeting held in October 1998 in Washington, DC. Text of the complete talk can be found on the ARL website at <http://www.arl.org/arl/proceedings/133/phelps.html>.*

Many ideas have emerged in higher education to deal with [the problem of journal price] increases, some helpful, some harmful, some nearly suicidal. At the suicidal end of the spectrum lie formalized policies from some universities that their libraries shall automatically receive budget increases necessary to match price increases posted by journal publishers. One might as well put on a deer costume and go out in the forest during hunting season! This simply invites publishers to raise prices without constraint, and if every college and university in the U.S. followed these policies, publishers would drive prices to levels that we would need telescopes to find. At the opposite extreme, some universities have informed specific publishers that the total spending on their journals is fixed by current spending, so that if they raise prices, subscriptions will be canceled so that publishers' revenue remains fixed. Since the marginal cost of an additional copy of the journal represents a trivial amount of the overall costs of production, this has the potential for stemming publishers' price increases, particularly if the policy were more widely adopted.

Fundamentally, however, the issues of journal pricing can only be resolved by systematic and widespread introduction of vigorous competition into the world of publishing, competition that has not emerged until recently in part because the producers of scholarly manuscripts (faculty) and their institutions (universities, both individually and collectively) have left the world of scholarly journals entirely to other entities, both commercial and not-for-profit (learned societies).

Particularly the commercial sector has made strong and successful efforts to expand the realm of journals that they publish and control, and have succeeded through time in establishing an intellectual stronghold in our worlds of scholarly communication by creating excellent editorial boards, attracting (partly through a lack of viable alternatives) our best scholarly work, and hence staking out the high ground in the intellectual hierarchy of our disciplines. Having achieved that high ground, they are now in a position to exploit the economic value of that reputation, and they do so by raising prices far above production costs, making journal publishing a highly profitable enterprise. They have also succeeded in stifling competition, not only through provision of excellent support for the editorial boards that they have recruited (often the best minds in the field) but also by such tactics as requiring five-year, non-competing clauses for editors who sign on, or simply by buying the competition.

Ultimately, to introduce effective competition into the world of scholarly publishing, the institutions of higher education must either separately or collectively create effective alternatives that serve all of the functions now provided by print journals, and make these alternatives at least as attractive to scholars (in their roles as author, referee, and editor) as current journals do.

Effective components of successful competition need not each provide every function now performed by paper journals. New digital technologies allow the decoupling of these functions in ways that make entry into the market easier and cheaper. We must take full advantage of these new technologies wherever possible.

## Decoupled Certification

Ultimately, many observers of the process of scholarly publication feel that the most important step in achieving effective competition for existing journals is to create an alternative mechanism to provide the refereeing/certification process now provided uniquely by the editorial boards of print (and occasionally, electronic) journals. What has become apparent is that digital technologies allow the complete separation of the certification process from the other publication processes (distribution, indexing, archiving). Thus, the Digital Networks and Intellectual Property Management Committee of the Association of American Universities (AAU) has begun a series of discussions designed to learn how to bring into existence a set of editorial boards that will perform only the refereeing function, leaving to other mechanisms the distribution and archiving. Whether this approach succeeds or not remains a completely open question.[1]

The potential advantages of decoupling appear in several areas. First, it may introduce more competition into the business of journal publication, especially in more highly defined subspecialty areas where scale economies preclude the introduction of a new paper journal. Put simply, it is easier and less costly to just engage in the certification process than to do that plus undertake the subsequent publication process itself. Second, it will encourage scholars to use digital media for communication (once having achieved the desired certification of quality) as their final method of "publication." This will both enhance the shift towards electronic communication and—as a secondary consequence—reduce the reliance on the paper journal

world, and hence ultimately reduce libraries' acquisition costs. I wish to be clear here that the process envisioned in AAU discussions relies completely on supporting the development of various "certification" or editorial bodies, but does not envision that the AAU or any other single organization would actually undertake such work. The goal here is not to establish a "monopoly" certification agency, but rather to support and encourage numerous groups to engage in such work in their own fields.

Despite the potential gains from achieving independent (decoupled) certification, some important issues stand in the way of successful introduction of this approach, including (a) finding mechanisms to support the costs of operating editorial boards (and refereeing systems); (b) inducing credible and "important" figures to serve as editors in this role, rather than in one leading to ultimate publication; and (c) finding parallel mechanisms to provide the other journal-like functions of dissemination, indexing and search, and archiving.

On the last of these points, a variety of mechanisms appears feasible. The easiest and lowest costing one is for authors of manuscripts to post their work (in a locked and electronically certified version) on their own website, so that the editorial board doing the certification can produce a virtual journal by simply posting a table of contents with links to the appropriate websites. The problem with this, of course, is the ephemeral nature of the postings and links: any user of the Web commonly finds broken links or sites that no longer exist, and the tracking and updating of these links (and maintenance of functional copies of the manuscripts) is not a casual undertaking. This concern for lack of permanence makes web-posting alone an unlikely permanent solution to the problem of scholarly communication, although it may well serve as a good "first step" in the process. The other important issue is that the current journal editorial process does provide for valuable improvement in the quality of scholarly writing, through editorial work, style and format improvement, and the like. Some fields find this more important than others, but any world of future electronic publishing may well involve some form of editorial improvement (before certification, potentially) or some form of archived (paper) publication for the most "important" works published electronically, the latter set obviously being more likely candidates for substantial editorial work and improvement.

A more complete process would link an e-server to the system, providing systematic oversight of the electronic source of the material, much as the Los Alamos server now does for the community of high energy physics. If e-servers and editorial boards are matched one-to-one, this simply becomes a system of e-journals. However, if a common site for the servers can be established to service a wide array of editorial boards, then the process of entering into the editorial fray is simplified. Thus, parallel development of mechanisms to support independent editorial boards and to provide e-server capabilities for distribution and archiving may be important.

Several paths for providing this electronic "server" access seem feasible. Without implicating individual organizations (and I wish to be clear that I have not discussed these issues with any of the named organizations), it seems tractable to expand a JSTOR-like environment to serve as a repository for manuscripts not yet published elsewhere. The capabilities inherent in ARL's SPARC system to support e-journals could also be adopted to provide the e-server function for other editorial boards. Ultimately, a wholly decoupled certification process can completely unlink the certification process from the distribution and archival process. And finally, if a national resource is established following David Shulenburger's proposal for a National Electronic Article Repository (NEAR), the capabilities of that system would also easily serve as repository for manuscripts certified by editorial boards as envisioned in the AAU's decoupling proposal.

## Conclusions

Incorporation of digital media into the realm of scholarly communication will inevitably occur, but the path can vary considerably by time, depending on the efforts and specific steps taken by the participants (including institutions of higher education, learned societies, and commercial publishers). Initially, at least, the digital and paper worlds will surely coexist, but eventually the digital world will quite likely become dominant.

Two types of changes will be necessary to bring this system into line with the purposes of universities and colleges. First, we must find ways to introduce competition into every phase of the process that journals once performed as a bundled effort—quality certification, editorial improvement, distribution, indexing, and archiving. And, finally, as a necessary step in creating appropriate competition, we must regain at least partial ownership of the property rights to the intellectual work that we collectively produce as the institutions of higher education in the U.S. and around the world.

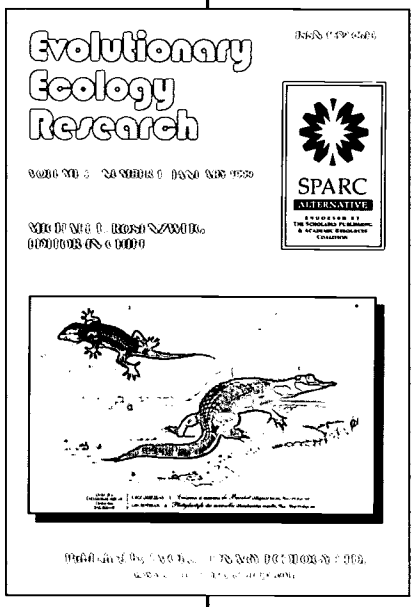
[1] A more complete description of the logic underlying this approach and the potential problems appears at <http://www.econ.rochester.edu/Faculty/PhelpsPapers/Phelps_paper.html>.

# SPARC Notes

*by Alison Buckholtz, SPARC Communications Manager*

## Call to Action

SPARC partner ***Evolutionary Ecology Research*** *(EER)* debuted its online edition in December and the print counterpart during the first week of January. If your library hasn't already subscribed, this is your opportunity to support a more competitive marketplace for scientific journal publishing. *EER*, founded and edited by University of Arizona professor **Michael Rosenzweig**, was created in response to the escalating cost of a Wolters Kluwer title that he also founded and edited. Along with the entire board of editors, Rosenzweig left the established journal when another in a long series of substantial price increases was announced, bringing the 1999 cost of the journal to $777. The new *EER* is available for $305 for the print and electronic version ($272 for internet access only), and it relies on the subscriptions of SPARC members to be able to provide an alternative to skyrocketing journal prices. For more information, see <http://www.evolutionary-ecology.com/>.




## Oberlin Group Gives SPARC the Nod

Fifteen members of the **Oberlin Group** of libraries, a collection of college libraries, have decided to join SPARC. Full members include Bowdoin College, Bucknell University, Claremont Colleges, Oberlin College, and Wesleyan University; consortial members include Albion College, Colorado College, Denison University, Eckerd College, Franklin and Marshall College, Macalester College, Trinity College, St. Lawrence University, Simmons College, and Williams College.

"The most serious threat faced by academic libraries is continuing high increases in journal subscriptions, particularly for academic journals," said **Ray English**, Director of Libraries at Oberlin College. "SPARC represents the first real initiative that has come out of the library community to try to address this issue."

## Australian University Libraries Join SPARC

SPARC's international reach broke through another geographic boundary when the **Council of Australian University Librarians** (CAUL) signed on as an affiliate in December.

"Changing the face of scientific publishing must be an international effort," said **Rick Johnson**, SPARC Enterprise Director. "The impact of journal price trends is often more devastating for libraries outside the U.S. CAUL will be instrumental in spreading the word about developing support for partnered journals, and identifying partnership opportunities."

## SPARC Communications Effort Expands

**Alison Buckholtz** has joined SPARC as Communications Manager to lead media and member outreach. Alison will work to expand recognition of SPARC, its partners, and its members, as well as spearhead marketing and web-based outreach.

Alison comes to SPARC after serving as an independent communications consultant for Washington, DC-based associations, web publishers, and corporations. Previous to that, she worked for five years at Boston-area public relations agencies representing the high-tech industry and in publicity and marketing functions for Faber and Faber, Publishers (U.S.). She can be reached at 202-296-2296 or via email <alison@arl.org>.

## May We Quote You?

As the first SPARC-supported journals become available, SPARC's initial successes tell a story important to the future of publishing. But SPARC would like to hear your story, too. Would you or members of your faculty or staff be willing to be interviewed or supply information for articles by national reporters? SPARC is currently compiling a list of members willing to speak to the press. We would also be happy to help you place articles you have written on the issue of journal pricing. In addition, please send us copies of usage studies, price analyses, or other data that will help tell the story of the journals crisis. For more information, contact Alison Buckholtz at <alison@arl.org>.

## Save the Date

**Ken Frazier**, SPARC Steering Committee Chair, will moderate **"SPARC: Creating Solutions Through Partnerships"** during the ACRL conference in Detroit (April 8-11, 1999). This panel, to be held on Friday, April 9, 11:00-12:30 p.m., will outline how and why SPARC evolved, how it works, and its progress to date. It will also address SPARC from the perspectives of a publishing partner and a faculty member.

## SPARC In the News

As SPARC's efforts to shake up the world of scholarly publishing gain momentum, the media is taking note. For in-depth coverage of SPARC, its partners, and its members, see the SPARC website listing of recent articles: <http://www.arl.org/sparc/news.html>.

# WORKING TOGETHER: A COLLABORATION AMONG ARCHIVISTS, RECORDS MANAGERS, AND INFORMATION TECHNOLOGISTS

*by Joan Lippincott, Associate Executive Director, CNI*

Institutions are grappling with questions concerning long-term access to electronic records, the policies that need to be put into place to specify responsibilities for retention of electronic materials, and the institutional mandate to respond to Freedom of Information Act requests that necessitate searching of electronic records that may not be structured for easy analysis and that may include confidential information. Archivists and records managers have historically had the responsibility for ensuring the institution's long-term access to its records and documents, and many new challenges are apparent in the networked environment. Working collaboratively with institutional information technologists may help in developing policies and solutions.

## CNI Working Together Workshop

CNI first offered a Working Together workshop in 1994. That workshop focused on facilitating partnerships between senior library and information technology (IT) managers and their staffs, an embodiment of CNI's mission. Over the years a broader spectrum of individuals, such as instructional designers and academic administrators, have been included in the teams that participated.

CNI realized the need for an expanded program, and one of the areas for redirection was to encourage collaboration among archivists, records managers, and information technologists. A grant from the National Historical Preservation and Records Commission provided funding for revamping of the program and the preparation of a curriculum and materials geared to a new audience of professionals. The grant also underwrote many of the costs of the first implementation of the specialized workshop.

Teams from 11 institutions participated in CNI's Working Together: A Workshop for Archivists, Records Managers, and Information Technologists, held on December 16-17, 1998 in Washington, DC. The workshop clearly tapped a growing institutional need for policies and projects that address the thorny issues surrounding electronic records management and the archiving of electronic documents. The participating teams, selected in response to a call, represented a wide geographic range (including one European institution) and a diversity of institutional types.

## A New Convergence

CNI's Executive Director, Clifford Lynch, stated in his keynote that the diffusion of networked information into our community is actually beginning to work. While historically archives and information technology have had relatively separate missions and realms of work, their missions are beginning to converge. In the past, archivists and records managers dealt exclusively with paper spun off from organizational processes, but now the types of materials managed and collected by these professionals is migrating onto the Net. We are just beginning to address the need and mechanisms for keeping a long-term record of email that documents institutional processes and policies, of videoconferencing that may contain the record of an official decision, and of website materials that represent the history of the institution.

## Major Issues

Participants identified major issues surrounding electronic archives and records, including policy-oriented concerns such as: confidentiality, retention versus disposal of electronic records, authority for decision-making and policy, and the legal/regulatory environment. Participants also identified the long-term archiving of web resources and email, the economics of long-term archiving, educating users and producers about electronic records policies, and the lack of input from archivists and records managers into system design as significant concerns.

Facilitators Gerry Bernbom (Special Assistant for Digital Libraries and Distance Education, Office for Information Technology, Indiana University) and Fynnette Eaton (Director of the Technical Services Division, Smithsonian Institution Archives) guided the teams, providing an overview of forces affecting collaboration among individuals representing different sectors of the institution, and finally focusing on an institutional project of relevance to each team.

## Institutional Projects

Teams developed plans to take back to their home institutions. Topics included plans to archive portions of the institutional website, to design a system to archive email created by a dean's office that had enduring value to the university, to design information systems that will provide continuing access to student records, to design a system of legally acceptable electronic records for a state agency, and to develop a campaign to inform university employees in one case and state employees in another about their responsibilities in dealing with electronic records.

## Perspectives & Future Workshops

Participants found that the structured agenda, interaction with others facing similar problems, and the time away from daily work to focus on these issues as key elements in their satisfaction with the workshop.

CNI is planning two more workshops on this topic for spring or summer 1999. One will be hosted by CIC and held in the Midwest, and the second will be held in Washington, DC. Information will be posted on <cni-announce> or check the CNI website <http://www.cni.org/projects/working.together/>. In addition, a session on the issues that institutions face regarding electronic records and archives will be held at the Spring CNI Task Force meeting, April 26–27, Washington, DC.

*Kathryn Deiss, OLMS Program Manager*

# DISTANCE EDUCATION: A NEW FRONTIER FOR THE OLMS

*by Trish Rosseel, Visiting Program Officer*

I recently had the pleasure of reading Willa Cather's *My Ántonia* and *O, Pioneers!*. These chronicles of frontier life brought to mind the development of the Internet's electronic frontier and reminded me that distance education is yet another new frontier being discovered and settled by pioneers like ourselves. While some settlers have been involved in distance education for some time now, others are just breaking ground.

While many of your libraries have developed innovative products and services to cater to this new citizenry, we as a profession have not yet utilized distance learning capabilities to their full potential. Our library schools have paved the way by creating myriad distance learning opportunities for librarians. And it is with a pioneering spirit that ARL's Office of Leadership and Management Services (OLMS) is exploring new territory and undertaking the design and development of distance education opportunities to address the continuing professional development needs of our community.

## Distance Learning Approaches

Distance education is a planned teaching and/or learning experience that uses a wide spectrum of technologies to reach learners at remote sites, and is designed to encourage learner interaction and certification of learning.[1]

Those engaged in distance education adopt a wide variety of approaches to facilitate learning. Traditionally, distance learning has centered around a print-based correspondence approach; however, with the advent of new technologies a number of new delivery models have emerged. Although these models originated in the academic arena, they are increasingly being used to facilitate organizational learning. Two approaches in particular seem to be at the forefront in both the academic and workplace arenas: the remote classroom approach and the networked learning approach.

***Remote Classroom.*** The remote classroom approach to distance learning is modeled after the traditional classroom method of teaching. It is enhanced, however, by the use of audio and video technologies. This approach is often used in an effort to deal more efficiently with large groups of students in different locations. It allows instruction to be delivered beyond the confines of the originating site, and provides significant opportunities for real-time interaction. Modes of delivery which support this approach to learning include technologies such as interactive television and one- and two-way satellite videoconferencing.

***Networked Learning.*** The networked learning approach is characterized by the asynchronous nature of communication between learners and teachers. It is time- and place-independent, unlike the remote classroom approach, and involves many-to-many interactive communication.[2] This approach is unique in its goal of fostering collaboration and interaction between and among instructors, learners, and their educational resources. Because networked learning allows the learner to determine the pace of study and control his or her activity, it is often considered the more flexible of the two approaches. The predominant mode of delivery for networked learning is the web-based course.

## Modes of Delivery

***Videoconferencing.*** Videoconferencing allows two or more people at different locations to see and hear each other at the same time. This technology establishes a visual connection among participants and facilitates collaboration between delivery sites. It can be one- or two-way in nature. Although videoconferencing bridges distance by linking disparate locations, it does require participants to travel to a downlink site at a pre-defined time. The development, planning, and coordination of satellite videoconferences can be quite complex and costly. However, videoconferencing does have the advantage of immediacy. This technology is an effective medium for learning that is time sensitive, or for discussion on current issues.

***Web-based training.*** Web-based training is learning that presents dynamic content in an environment allowing self-directed and self-paced instruction. Web-based training has several key characteristics. It has the ability to deliver diverse media and is fully capable of evaluation and adaptation. It is platform independent. Training resources can extend beyond the basic course content to include Internet resources and proprietary databases and resources. Communication between learners and facilitators can be seamlessly integrated into the web-based course environment via online discussion software tools. Content can be easily updated to reflect the changing interests of the facilitators and learners.

## Potential Benefits

Beyond bridging the barriers of space and time, distance education offers various other tangible benefits.

***Increases motivation.*** A distance learning environment can heighten motivation. A new learning experience is apt to stimulate and sustain the curiosity of many learners. The use of new technologies may pique their interest in the technology and increase their attentiveness to the content explored. The online environment also provides a wonderful opportunity to capitalize on the dynamic nature of web-based learning and increase the relevance of the learning experience to participants. For example, if the facilitator of a web-based course receives feedback regarding the course schedule from a participant, they can immediately respond by altering the syllabus and developing a new module that meets the expressed needs of the learners.

*Improves retention.* Distance learning improves retention by appealing to a variety of learning styles via diverse media such as text, video or audio clips, graphics, and animations. By taking into account the variety of learning styles and designing content and exercises that make use of varied media, course developers and instructional designers can increase retention rates.

*Reduces expenditures.* Another key benefit of distance learning is its ability to reduce travel and accommodation expenditures. Many organizations with regional and/or global offices spend significant amounts of money to send employees to one site to receive required training. Those delivering distance education can also realize savings in the realm of print material creation and distribution.

Similarly, many individuals invest their time and money to participate in professional development opportunities. Distance learning can minimize costs, both financial and human, to the learner by allowing them to participate in learning events from their work or home.

## Key Issues and Challenges

*Ownership, Copyright.* Intellectual property remains a key issue as distance learning programs become better established. It is important to clarify who has what rights to both the content and the learning environment in web-based course development. Questions related to ownership also surface when outsourcing to a contractor. Closely related to this is the issue of copyright. Organizations embarking on the distance education journey need to determine who is responsible for the development and implementation of copyright policies, who will instruct online facilitators as to what is permissible in the online environment, and who will obtain permission for course materials.

*Evaluation.* Evaluation is another key challenge in the distance learning environment. It includes, but is not limited to, the assessment of learner understanding, faculty capability, and the overall return on investment (ROI) to the organization. In order to effectively measure ROI, a cost-benefit analysis should be undertaken. Costs identified should include not only the money paid out for design, development, technology, etc., but also the marginal, or hidden, costs, such as the often undocumented overhead of the organization. To ensure a high ROI, distance learning must be strategic.

## Distance Education at the OLMS

The exploration of options for distance education delivery of OLMS content and pilot-testing of a number of technologically-enabled events were identified by the OLMS as strategic priorities for 1999-2000. Various issues have emphasized the importance of moving in this new direction.

First, although we make every effort to minimize registration costs, we recognize that the associated travel and accommodation costs for those participating in our face-to-face institutes continue to be an issue. We hope to address this by offering a more affordable alternative by supplementing our repertoire of in-person training events to include distance education options via multiple modes of delivery.

Another catalyst for moving in the direction of distance learning is our desire to broaden our audience. While many of our members do take advantage of the training programs we offer, we feel that there is room for expanding our services and increasing access to those services via the use of emerging technologies.

Finally, it has often been suggested that OLMS incorporate some technology training into our program offerings. Rather than developing a program specifically on technology training, distance learning events will integrate technology skill development into each program as well as provide our members the opportunity to use the new technologies that are increasingly being applied in the provision of library services across North America, as illustrated in our recent issue of *Transforming Libraries* on distance learning.[3]

With all of these issues in mind, OLMS is poised to explore and expand current training and leadership development services on behalf of ARL member libraries. Our goal for 1999 is to plan and implement at least three distance learning events.

Our first step in achieving our goal was the development of a partnership with the Southern Illinois University (SIU) Library Instructional Support Services (ISS) team. We are very pleased to be working with Carolyn Snyder, Dean of Library Affairs; Susan Logue, Instructional Support Services; and other ISS staff on this project. The OLMS and ISS will be working together over the next three months to develop a prototype for web-based course delivery. Drawing on the success of the OLMS Training Skills Institute, the first online workshop to be developed will focus on how to effectively manage the learning process. Our plan is to pilot test this web workshop with select institutions and organizations during April–May 1999. If you are interested in participating in the OLMS distance learning pilot, please contact me <trish@arl.org>.

[1] *Distance Education Clearinghouse*, University of Wisconsin-Extension, July 1998 <http://www.uwex.edu/disted/definition.html>.

[2] Linda Harasim, et al., *Learning Networks: A Field Guide to Teaching and Learning On-line* (Cambridge: The MIT Press, 1997).

[3] William G. Jones, *Issues and Innovations in Distance Learning*, Transforming Libraries #6 (Washington, DC: ARL, October 1998). See <http://www.arl.org/transform/DL/>.

*DeEtta Jones, Senior Program Officer for Diversity*

# ARL LEADERSHIP AND CAREER DEVELOPMENT PROGRAM

The pilot experience of ARL's Leadership and Career Development (LCD) Program, made possible through a Department of Education HEA Title II-B grant, was successfully completed in July 1998. Based on the strong success of and support for the LCD Program, ARL is pleased to report that it has become an ongoing operation of the Diversity Program and will be offered biannually.

## Program Components

ARL's Leadership and Career Development Program is designed to increase the number of librarians from underrepresented racial and ethnic groups in positions of influence and leadership in research libraries by helping them develop the skills needed to be more competitive in the promotion process. The LCD Program consists of several components: an organizing meeting, two five-day institutes, a mentoring relationship, ongoing reading and electronic discussions, research project development, and a closing ceremony.

### Institutes

The institutes help participants to assess and develop leadership skills and introduce them to leaders in the research library, library association, information technology, and higher education arenas who present on the most pressing issues related to leading research libraries.

Institutes are also a time for Program participants to develop a professional support network with special presenters, ARL faculty, and, most importantly, with each other. LCD Program participants use gathering opportunities and electronic discussion lists as the primary means of connecting with each other and sharing information.

### Research Projects

The LCD Program includes a research project development component to give participants further experience in the scholarly publication process and to add to the body of knowledge available in the library community, particularly by members of minority groups. The *Leading Ideas* publication series was launched in conjunction with the LCD Program as a forum for participants to share their research project results. The April 1999 issue of *Leading Ideas* will highlight an article contributed by the 1997-98 class describing the critical dimensions of the Program and the impact it has had on their careers to date.

### Mentoring Relationships

Twenty directors of ARL libraries and one dean of a library and information services program served as mentors to the 1997-98 LCD Program participants. The mentoring relationship gave Program participants direct access to library leaders who are in the positions aspired to by participants. It also gave library leaders an opportunity to build relationships, pass along advise, and nurture the development of the leaders of today and tomorrow.

ARL will seek continued engagement from top leaders in research library and library education in the mentoring process. A session is scheduled at the May 1999 ARL Membership Meeting to introduce interested directors to the Program's mentoring component and give them an opportunity to volunteer as mentors to the 1999-2000 class of participants.

Through the LCD Program ARL has also been able to work with the American Library Association (ALA) on the mentoring component ALA's Spectrum Initiative. Many of the mentors working with the Spectrum Initiative Scholars are members of the 1997-98 class of the LCD Program. The LCD Program participants have been mentored as part of their own development and realize that the next level in professional responsibility is giving back to the library community. Other mentors represent members of ARL and ALA staff and individuals who have been closely involved with the Initiative's development.

### Closing Events

A closing ceremony, scheduled in conjunction with the annual ALA Conference, serves as a time for celebration, information-sharing, and a forum for participant presentations on field project development. The closing ceremony for the 1997-98 Program was so highly received that the ARL Board extended a special invitation to the participants to attend the October 1998 ARL Membership Meeting.

Support from and participation of library leaders reinforced the importance of the Program and gave it credibility. Furthermore, the ARL Diversity Committee has shown resounding support for the continuance of the Program. The Diversity Committee proposed that ARL membership dues increase slightly to fund the continuance of the Program and member institutions have been supportive of this action.

## 1999-2000 Program Information

Preparations are underway for the 1999-2000 offering of the Leadership and Career Development Program. Interested individuals are encouraged to review the Program timeline and application materials available at <http://www.arl.org/diversity/lcdp.html>, or email DeEtta Jones, LCD Program Director, at <deetta@arl.org>.

*Lee Anne George, Program Planning Officer*

## IMLS ANNOUNCES NATIONAL LEADERSHIP GRANT AWARDS

The IMLS has announced the availability of the 1999 National Leadership Grant Awards application and guidelines, at <http://www.imls.fed.us/gdlns.html>, with a March 19, 1999 application deadline. The Institute of Museum and Library Services provides National Leadership Grants to enhance the quality of library services nationwide and to provide coordination between libraries and museums. National Leadership Grants mark a new opportunity for libraries to address pressing needs in education, research, and preservation and for libraries and museums to work together to address community needs, expand audiences, and implement the use of the most efficient and appropriate technologies.

In 1998, ARL institutions received or participated in leadership grants in three award categories: Research and Demonstration, Preservation or Digitization, and Model Programs of Cooperation. A complete listing of 1998 award recipients and program descriptions can be found at <http://www.imls.fed.us/nlg98list.htm>.

### Research and Demonstration

Model projects to enhance library services through the use of appropriate technologies and to create methods to evaluate the contributions to a community made by institutions providing access to information services. Recipients included: Duke University; Indiana University; University of Michigan, Bentley Historical Library; New York Public Library; University of Pittsburgh; Albany, State University of New York; University of Wisconsin.

### Preservation or Digitization

Projects to preserve unique library resources of national significance, emphasizing access by researchers beyond the institution undertaking the project, and projects that address the preservation and archiving of digital media. Recipients included: Cornell University; University of Hawaii at Manoa; University of North Carolina at Chapel Hill; Northwestern University; University of Virginia.

### Model Programs of Cooperation

Projects that develop, document, and disseminate both the processes and products of model programs of cooperation between libraries and museums, with emphasis on how the community is served, technology is used, or education is enhanced. Recipients included: University of Florida, Florida Center for Library Automation; University of Illinois at Urbana-Champaign.

## HONORS

**Graham R. Hill**: On November 9, 1998, the Canadian Association of Research Libraries (CARL) honored Graham R. Hill, University Librarian, McMaster University, as the first recipient of the CARL Award for Distinguished Service to Research Librarianship. Hill was recognized for his longstanding commitment in the areas of copyright reform and education as well as his support for unimpeded access to scholarly research materials in any form.

## TRANSITIONS

**UC–Santa Barbara**: Sarah M. Pritchard was appointed as the UCSB University Librarian, effective mid-year. She is currently the Director of Libraries at Smith College and formerly worked at ARL and the Library of Congress.

**Iowa**: Sheila Creth announced her resignation as University Librarian, effective at the end of 1999.

**Kansas**: William J. Crowe will resign as Vice Chancellor for Information Services and as Dean of Libraries, to accept the role of Spencer Librarian at the Kenneth Spencer Research Library, KU's rare books, manuscripts, regional history, and archives repository, effective July 1. Marilu Goodyear will succeed Crowe as Vice Chancellor. A national search for a new Dean of Libraries will soon be announced.

**New York**: Carol Mandel was named Dean of Libraries, effective Spring 1999. She is currently Deputy University Librarian at Columbia University and formerly worked at ARL.

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**International Federation of Library Associations**: Ross Shimmon was named Secretary General of IFLA, effective April 1999. He is currently Chief Executive of The Library Association.

## ARL STAFF TRANSITION

**Alison Buckholtz** was appointed Communications Manager for SPARC, effective January 4. She comes to SPARC after serving as an independent communications consultant for Washington, DC-based associations, web publishers, and corporations.
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**Editor:** G. Jaia Barrett, Deputy Executive Director
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# ARL Calendar 1999

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| March 4 | De-Mystifying the Licensing of Electronic Resources ARL/SLA Videoconference, 1:00–4:00 p.m. EST |
| March 10–12 | Library Management Skills Institute I: The Manager *Denver, CO* |
| March 15–17 | Electronic Publishing of Data Sets on the WWW *Charlottesville, VA* |
| March 26–27 | New Challenges for Scholarly Communication in the Digital Era: Changing Roles and Expectations in the Academic Community *Washington, DC* |
| April 8–11 | ACRL 9th National Conference *Detroit, MI* |
| April 26–27 | CNI Spring Task Force Meeting *Washington, DC* |
| May 4–6 | Facilitation Skills Institute *Seattle, WA* |
| **May 11–14** | **ARL Board and Membership Meeting** ***Kansas City, MO*** |
| May 19–21 | Training Skills Institute: Managing the Learning Process *San Diego, CA* |
| June 3–4 | Project Management Institute: Getting Things Done or Getting the Outcomes You Want *Evanston, IL* |
| **July 26–27** | **ARL Board Meeting** ***Washington, DC*** |
| October 7–8 | Leading Change Institute *San Antonio, TX* |
| **October 12–15** | **ARL Board and Membership Meeting** ***Washington, DC*** |
| October 26–29 | Library Management Skills Institute II: The Management Process *Evanston, IL* |
| November 3–5 | Assistant/Associate Librarian Institute *Charleston, SC* |
| November 10–12 | Edgework Institute: Stimulating Innovation in Libraries and Information Services *Washington, DC* |
| November 17–19 | Library Management Skills Institute I: The Manager *Atlanta, GA* |



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April 1999

# IN THE CURL OF THE WAVE

## What the Digital Millennium Copyright Act and Term Extension Act Mean for the Library and Education Community

*by Arnold P. Lutzker, Lutzker & Lutzker LLP*

*Editor's Note: If you know anyone who thinks that last fall's passage of two major pieces of copyright reform legislation in the U.S. Congress puts to rest the need to sustain a high level of personal and institutional engagement in this set of issues, suggest they read on. Arnie Lutzker's report takes a candid look at why proponents of a balanced copyright law—now more than ever—need to join forces to make the strongest possible case on behalf of library and other educational uses of copyrighted resources.*

In the coming 18 months, the library and education community faces a series of fast-paced public policy forums where significant copyright and other intellectual property issues will be addressed. The passage last fall of the most comprehensive reform of copyright law in a generation, the Digital Millennium Copyright Act (DMCA), along with passage of the Copyright Term Extension Act take copyright principles into the digital information age and establish complicated rules that most users do not yet appreciate. The implications of the new statutes for library and educational use of copyrighted materials, however, were not fully resolved in the legislation. To address outstanding questions, the statutes put into motion three formal public policy processes, the outcomes of which will be profoundly significant for the future of the scholarly communication process and for how libraries may support that process.

This article provides a summary of key issues in the DMCA and Copyright Term Extension Act and proposes an action agenda for the library and education community. The article concludes with a reminder of the importance of also continuing to represent the views of academic users of public domain information in ongoing congressional consideration of pending database legislation.

### Digital Millennium Copyright Act

The issues addressed in The Digital Millennium Copyright Act (DMCA), PL 105-304, that are of utmost importance for libraries and the education community are: access to and fair use of copyrighted works issued in encrypted form; the liability of online service providers for infringing behavior by a user of the service; the proper uses of copyrighted works in distance education programs; and the use of digital technology to preserve library and archival materials. In the case of all but the last of these issues, major questions remain about application of the new statutory provisions in educational settings.

#### Encrypted Works and the Anti-Circumvention Law

Many electronic works are distributed in encrypted form and the DMCA established stiff penalties for anyone accessing a copyrighted work protected by "technological protective measures" (TPMs) without the consent of the copyright owner. The law also bans equipment or services whose primary purpose is for use in defeating technology that limits access to a copyrighted work. Taking effect in two years, the new anti-circumvention and access rules will encourage publishers to distribute digital works online; by CD, CD-ROM, or DVD; or in other formats in either encrypted or protected form by providing greater assurance to

copyright owners that those who abuse access barriers will be subject to severe penalties. Legislators and content owners both hope that the severity of the penalties will discourage widespread piracy.

The new law does provide for certain exemptions to the anti-circumvention penalties. However, the one exemption included for nonprofit libraries, archives, and educational institutions is solely for the purpose of determining whether to acquire the work or not. A central question not answered in the new law is how a library, archive, or school may obtain the means to circumvent, since the selling of such equipment is prohibited in the law. It also remains unanswered in law whether any fair use can be made of a work protected by TPMs, absent a future rulemaking.

No later than October 28, 2000, the DMCA requires that the Library of Congress publish regulations controlling access to "particular classes" of copyrighted works. The new law established a formal rulemaking procedure designed to allow any person or institution to make the case that protection systems either had interfered, or were likely to do so, with legal uses or with lawful access to a particular class of copyrighted materials. If that case can be made, the DMCA empowers the Librarian of Congress —on the advice of the Register of Copyrights and the head of the National Telecommunications and Information Administration (NTIA)—to issue a waiver from the bill's basic prohibition on "circumvention" for all materials in the identified class. The waiver would cover all materials in the class, not just uses by the person or institution who sought the waiver. The first such rulemaking proceeding will be conducted during the next two years while the effect of the new prohibition is deferred, and then every three years thereafter.

The TPM and anti-circumvention provisions of the DMCA will most likely ensure that more works come with licenses and with an obligation to pay for each use or access. This change could hit libraries particularly hard because it challenges the way in which libraries function as archives of our published history. *Libraries must be prepared to review contracts for the acquisition of digital works more closely than ever before and bargain for full access rights.* Libraries must be alert to limitations on access and use of works that are licensed. In short, they must be prepared:

- to bargain for the right to a hard copy;
- to realize that digital access means limited access, unless you own a copy of the work;
- to pay for the cost of access; and
- to understand that equipment that decrypts works may be illegal to acquire or use.

*The library and education community needs to organize itself and understand how it is using digital works today, how it is likely to use them in the near term, and what the economic and social impacts of the new regime will be.* Then, it must be prepared to participate actively in the regulatory proceedings to be established by the Librarian of Congress. Careful data collection in 1999 will be necessary if a strong record in favor of fair use, library preservation, teaching, and scholarship is to be made.

As with many agency rulemaking proceedings, active participation in the initial case will be very important, because procedures will be established for managing the record and early precedents will carry forward for years to come. All issues raised by the legislation will be novel for the Librarian in the first rulemaking case. The central focus of these proceedings will be to determine (1) the "adverse affects" of the rules upon library and educational users, (2) the significance of licensing alternatives ("pay per use"), and, ultimately, (3) the particular classes of works that should be exempted from the scheme.

The library community did not ask for this structure, but it was offered as the best compromise that Congress could fashion. Since the burdens of obtaining relief fall on the proponents, library and educational institutions will have to make a persuasive record that justifies appropriate relief. It will be a challenge, but one that will help shape the future role of libraries in the digital age.[1]

**Limitation of Liability for Online Service Providers**

Creation of a new limitation on liability for online service providers (OSPs) was perhaps the most complex task of the DMCA legislators. The new rules establish certain procedures and conditions that grant OSPs, including libraries and educational institutions, an exclusion from monetary liability for copyright infringement by a user of the service. Balancing a myriad of interests and fashioning legislation for technology that is arcane and evolving are no simple tasks. Thus, the OSP limitation of liability represents a very important contribution of the DMCA to copyright law. Also, the process used to develop this statutory limitation—congressional committee supervised negotiations—may also serve as a model for preparing legislation on other issues that require discreet balancing of concerns of contentious but politically powerful interests.

For libraries, the initial issue is whether to assert status as a "service provider" and register with the Copyright Office. This is not an easy question to resolve. Certainly, the definition of "service provider" is broad enough to encompass many of the libraries' online activities. However, the legislation's complex rules will require very careful compliance practices, including the use of sophisticated software and systems and the development of notification and termination

policies. Although monitoring of sites is not required, once a service provider receives notice of an infringement, actions such as "notice and take down" or "counter notice and put back" must also be taken.

In weighing the benefits of coming within the statutory limitation terms, libraries should appreciate the reduction of potential damages for innocent, but contributory, infringements. For libraries that are part of larger, educational institutions, exposure to money damages from cyberspace violations by patrons, students, and faculty—as well as third parties—must be deemed a real threat. It should be understood that online copyright infringements are a "hot button" issue for publishers. It should also be anticipated that a test case or two would be brought in the near future.

Further, it must be underscored that even though monetary damages may be avoided, all service providers are subject to all other copyright legal remedies, including injunctive relief. It is not known whether content owners will use the website list of service providers maintained by the Copyright Office as the "go-to group" that receives all the infringement notifications. Since each OSP is an online ramp to the cyber-violations, whether more than a limited group will receive infringement notices is not yet known. If many owners adopt an approach that blankets the potential universe of OSPs, then those identified service providers could be flooded with requests for take down. Such a situation could render operations at small- to medium-sized libraries into an immediate state of chaos. Then, too, how much technological support in terms of advanced software and personnel is required to satisfy the legal strictures is unknown. Perhaps the wiser course for most non-research libraries that do not host websites or sponsor chat rooms is to wait for the dust to settle and see how implementation of the new rules proceeds.

### Study of Distance Education in Networked Environments

Although DMCA did not include explicit expanded protection for educational activities involving the Internet, the creation of a congressionally-mandated study of the subject by the Copyright Office is important and deserves immediate and active attention by the library community. From its inception, copyright law has balanced owners' rights with users' rights. Despite copyright owners proclaiming the need for fair return on their creative works and the importance of securing economic rewards in a global economy, principles like fair use and exemptions for classroom teaching and library preservation survive. Distance education is the latest major battleground in the effort to balance educational interests in a federal law that increasingly emphasizes the commerce of copyright.

Extending the face-to-face and transmission exemptions to Internet education will not happen without aggressive and active participation by the library and educational communities. In the initial hearings held in January 1999 by the Copyright Office, owners have already asserted there is no need to change the law. They argue licensing and other permissive approaches to incorporating works into course content will suffice. Moreover, they claim to be the primary producers of course texts and thus any exemption hurts their markets and damages them competitively. Unless educators are energized by the opportunity to create a new and important expansion of principles embodied in the current classroom and closed circuit transmission limitations, no change will occur. The central points to be made include the following:

- Obtaining clearances for spontaneous use of copyrighted works in online courses is virtually impossible.
- Identifying copyright owners of certain works, like photographs, is so daunting as to make it a task not worth pursuing.
- Licensing is not an acceptable alternative because, when offered, the price is often far too high to justify the use.
- Unless the copyright law is modified, the playing field for parties negotiating licenses is out of balance. Libraries and educators will find they have less leverage to negotiate fair terms for digital use within their communities.
- The transaction costs associated with clearances and licensing requirements threatens to perpetuate or exacerbate the traditional disparities between "have" and "have-not" communities that distance education and the Internet could otherwise help to mitigate.

Even if the Copyright Office study proposes favorable changes in law—and that result is not certain at all—it will be a very difficult road to achieving reform. It is always easier to defeat legislation than pass it. But if the library and educational communities are unified in their desire to update copyright law exemptions so that online education is treated on a par with classroom learning, then there is a chance that reform can be accomplished in the near future.[2] With congressional and presidential elections coming in the next year, education will be a very important electoral issue and distance education should be a central topic in all races.

### Library Exemption Update for Preservation

The DMCA provides the most significant updating of library and archival preservation rules since procedures to cope with photocopy machines were established in 1976. The changes permit preservation and storage of a copyrighted work in a digitized format and describe a mechanism for handling preservation of works originating in outmoded formats.

The updating of Section 108 to enable libraries to work in digital preservation was surprisingly hard fought. Even with the endorsement of the authors of the White Paper,[3] it required extensive negotiations in the House and Senate. The content community is very nervous about allowing digital copies of works to exist anywhere without explicit authorization. In the end, this update is a modest, yet important, change for libraries that will make their task of maintaining collections easier in a technologically advanced environment.

## Copyright Term Extension Act and the Library Limitation

Moving in tandem to the DMCA legislation was another copyright reform bill—term extension. For the past three years, there was a drumbeat by certain copyright proprietors, especially those owning movies and musical works, for extension of the copyright term. Since many European nations had added 20 years to their standard term of protection, U.S. author interests pressed for an equal amount of additional time to prevent loss of rights by American copyright interests in foreign markets. They also argued it would be a good incentive for future creativity and the balance of trade if more works qualified for more years of protection.

Although the legislation had strong support, it was held hostage to a debate over the demand of certain groups—notably restaurants, bars, and religious broadcasters—to be entitled to relief from the high charges for use of music on their premises and in their broadcasts. In the closing days of the session, agreement on these pesky issues was finally accomplished and the legislation was adopted and signed by the President (PL-105-298). The new law automatically extends the copyright term for all protected works to life of the author plus 70 years, and 95 years for works made for hire. The first works to be affected by term extension are those whose terms of protection would have expired on December 31, 1998.

For the library community, concern about extension of the copyright term was expressed early in the debate. It was posited that the overwhelming majority of works are neither commercially exploited nor readily accessible in the marketplace after several decades, much less 75 years (or 70 years after an author's death). Yet, for researchers and scholars, access to such works from the library's collection are important and no limitation should be made on such noncommercial uses. Moreover, with regard to already-existing works, no "extra incentive" is needed to spur creativity.

In an effort to resolve the concerns expressed by library interests, an understanding was reached regarding the ability of nonprofit libraries, archives, and educational institutions to exploit older works during what constitutes the extended copyright term. Suggesting that libraries should be able to exploit works that have lain fallow for decades should not strike one as an explosive proposal. Yet, the content community aggressively fought this notion to the very end, receding only as the legislation was poised to succeed or fail for another congressional session.

The Copyright Office, through the vehicle of regulations, will help determine the reach of the new exception that permits libraries to continue to freely use old works in the last 20 years of the extended term, just like public domain works. This is a vital concern for the library and education community, because maintenance of the public domain assures the role of libraries as archivists of history, not licensees of commerce.[4]

Participation in the regulatory process that will define the terms and establish rules is a relatively efficient way to get one's key points across. Just as was noted with regard to the anti-circumvention rulemaking and the distance education study, active participation in these administrative proceedings assures that the library and education community's voice will be heard at the opportune time and its views not ignored. Once the procedures are in place, libraries will be able to turn regularly to the Copyright Office website dedicated to enforcement of this new limitation and learn what works fit within the definition of "normal commercial exploitation."

Even as the ink was drying on the newly enacted law, a lawsuit was being initiated to challenge the constitutionality of the Copyright Term Extension Act. A publisher that re-circulates public domain works has filed suit in Boston to declare the Act in violation of the "limited term" provision of the Copyright Clause of the U.S. Constitution, Article 1, Section 8. Since test case litigation requires several years to complete, nothing will happen overnight, but this is a case to watch.

## Database—The Other Shoe

When the House of Representatives passed its version of the DMCA, the bill included Title V, The Collections of Information Antipiracy Act. This provision was the number one legislative priority of some major online publishers of data and governmental works, because their databases have been vulnerable to copying without compensation. The key legal problem identified by proponents is that under U.S. copyright law, as interpreted by the U.S. Supreme Court, "facts" (such as names, addresses, phone numbers, weather conditions, stock quotes, and the like) and "works of the federal government" (including court opinions and government reports) cannot be copyrighted. With the increasing availability of this information online, the concern has developed that publishers will be unlikely to continue to invest in assembling and maintaining information

if electronic copiers can snatch the data and republish it without compensation as soon as it is released.

Without trying to sound like Chicken Little, it is nevertheless necessary to point out that the dramatic proposal to establish database protection for collections of information unprotected by copyright law could have a devastating impact on what librarians and researchers think of as "the public domain." A database bill such as the one proposed in 1998 would effectively create a new body of material comprised of facts, data, and government works that could not be reproduced without consent. Such legislation, coupled with a new licensing regime, would have broad implications for digital communications and scholarship.

Although the database bill was deleted from the final version of the DMCA, it is fair to say its progress was only impeded. A new version of the bill has already been introduced in the 106th Congress.[5]

Recognizing that the House of Representatives adopted the measure twice, there is an urgent necessity to maintain effective political alliances that speak to the value of free access to facts, data, and government works for the purpose of education, scholarship, research, or teaching. Although legislators heard and agreed with many of the library and research community's arguments, have no illusion: database is the number one priority of publishing magnates such as Reed Elsevier and West Publishing. They have made major strides in convincing Congress that protection of their investment in building and maintaining databases from theft is sound public policy.

This bill is at the very top of the agenda of the House Subcommittee on Courts and Intellectual Property in 1999. Maintaining a strong library and education community presence on this issue is vital lest databases of facts, information, and government works become the next body of material removed from the public domain.

Note: This article is excerpted from *Primer on the Digital Millennium*, a report prepared by Arnold P. Lutzker, an attorney and specialist in intellectual property and new technology who is a consultant to ARL and other library groups. The *Primer* includes the history of the digital discussions and describes more of the details of the key issues and important statutory provisions only touched upon in this article. The *Primer on the Digital Millennium* is available in its complete form on the ARL website <http://www.arl.org/info/frn/copy/primer.html>. It is also included in ARL's new publication *Embracing Ambiguity: An ARL Copyright Briefing Notebook for 1999* (ISBN 0-918006-46-5. Price: $40; $30 for ARL Member Libraries). To order the notebook, email ARL at <pubs@arl.org>, or contact the new ARL Distribution Center: P.O. Box 531, Annapolis Junction, MD 20701-0531; Phone: (301) 362-8196; Fax: (301) 206-9789.

## Endnotes

[1]Clearly, the collection of data regarding the experience of individual librarians and institutions with the use of protection technologies by copyright owners will be a critical building block of any successful waiver request. The American Library Association is working closely with ARL and other national library associations and many others in the public sector to devise and publicize a system of collecting and analyzing such information on an ongoing basis.

[2]The Copyright Office has conducted hearings on how to promote distance education via digital technologies and whether a change in statute is needed to accomplish this goal. The hearings were in Washington, D.C.; Chicago, Ill.; and in Los Angeles, Calif. James Neal, Dean of University Libraries, Johns Hopkins University, testified on behalf of members of the Shared Legal Capability: ARL, AALL, ALA, MLA, and SLA. Laura Gasaway, Director, Law Library, University of North Carolina Chapel Hill, testified on behalf of AAU, NASULGC, and ACE. The statements are available on the ARL website <http://www.arl.org/info/frn/copy/dmca.html>.

The proprietary community was well represented at the Washington hearing and testified that changes to the current statute are not needed. In addition, these witnesses echoed the theme that licensing agreements are sufficient and are working very well. Many in the library and education communities testified that licensing agreements were problematic and thwarting many distance education initiatives. ARL reply comments to the Copyright Office will be posted to the ARL website noted above.

[3]White House Information Infrastructure Task Force (IITF) Working Group on Intellectual Property Rights. *Intellectual Property and the National Information Infrastructure: The Report of the Working Group on Intellectual Property Rights*. Sept. 1995. U.S. Patent and Trademark Office 9 Mar. 1999 <http://www.uspto.gov/web/offices/com/doc/ipnii/>.

[4]On December 21, 1998, the U.S. Copyright Office adopted interim regulations (effective January 1, 1999) to deal with the library and archive exception to the 20-year extension of the term of copyright. The exception provides for use of a work if: (a) it is not subject to "normal commercial exploitation," ***and*** (b) it cannot be obtained at a "reasonable price," ***unless*** the owner has filed a notice with the Copyright Office to the effect that the work is subject to "normal commercial exploitation" and can be had at a "reasonable price."

The Copyright Office-sought comments on the interim regulations and the response of the library community—especially addressing the meaning of the phrase "normal commercial exploitation"—are available on the ARL website <http://www.arl.org/info/frn/copy/comments.html>. The Copyright Office will issue final regulations after a review of all the comments.

[5]On January 19, Rep. Coble, (Chair, Subcommittee on Courts and Intellectual Property, and R-NC) introduced H.R. 354, the "Collections of Information Antipiracy Act," legislation that seeks to provide additional protections to collections of information and databases. There are few substantive changes from the extremely controversial bill considered last year. Also on January 19, Sen. Hatch (Chair, Senate Committee on the Judiciary, and R-UT) placed a statement in the Congressional Record which included H.R. 354 and two other proposals for database legislation. Calling for additional protections for databases, Sen. Hatch stressed the need to balance selected interests of the information industries seeking additional protections and those of users of information and databases. The two other proposals include an alternative draft bill supported by the library, education, research, and scientific sectors and many in commercial database and telecommunication industries. The second proposal includes provisions discussed at the close of the legislative session during negotiations sponsored by Sen. Hatch. Sen. Hatch's full statement is available via the ARL website <http://www.arl.org/info/frn/copy/hatchdb.html>.

*Richard K. Johnson, Enterprise Director, Scholarly Publishing and Academic Resources Coalition*

## COMPETITION: A UNIFYING IDEOLOGY FOR CHANGE IN SCHOLARLY COMMUNICATIONS

It's a hot topic at academic conferences, library association meetings, and scientific forums. During the past decade, the debate about how to transform scholarly publishing has animated discussions across America and around the globe. The problem is clear: Scholarly journals cost too much. But though a variety of solutions has been proffered, none has yet been so widely embraced that the underlying structures have shifted appreciably.

Many participants in the discussion have staked their claim to one potential solution or another, serving as effective champions for change and calling attention to needs and options. SPARC was created to support these efforts in all their diversity. It is built around a unifying ideology that embraces and complements such initiatives. This central idea is that competitive market forces must be unleashed if the status quo is to be challenged. This simple, but not simplistic, idea is intended to give voice to a range of actions, to demonstrate at last our readiness to act in concert.

SPARC has not been the first to call for competition as a response to the growing journals crisis. The roots may be seen, for example, in the 1998 Pew Higher Education Roundtable report, "To Publish and Perish," which called for libraries to "be smart shoppers." In 1994, the AAU Task Force on a National Strategy for Managing Scientific and Technological Information recommended that universities take action to "introduce more competition and cost-based pricing into the marketplace for STI by encouraging a mix of commercial and not-for-profit organizations to engage in electronic publication of the results of scientific research." And in 1989 a study of the serials market prepared by Economic Consulting Services Inc. said, "[T]he library community would benefit greatly from such measures as the encouragement of new entrants into the business of serials publishing, and the introduction of a program to stimulate greater competition among publishers."

Competition is the one overarching ideology today that enjoys broad support among the disparate stakeholders in the scholarly communication process, including scientists in wide-ranging disciplines, librarians, administrators, and societies. The far-reaching support SPARC has obtained in the short time since its birth is testament to the breadth of its appeal. SPARC's agenda is entirely compatible with a range of proposals for potential systemic change—reform of promotion and tenure policies, NEAR and other proposals that would alter copyright assignment practices, "decoupling" of peer review and publication, or a broad-scale move to the document delivery model, for example. Each approach has merit and could be supported by SPARC. But each option is also a potentially long-term, high-risk undertaking.

SPARC is not a single-minded venture: the "SPARC Alternatives" program to support lower-priced alternatives to high-priced titles is but the first of a series of initiatives to test for soft spots and demonstrate where the leverage points are. In the months since SPARC was formally launched in June 1998, it has focused on supporting competition among high-priced scientific journals as a means of constraining and reducing prices. The logic is that: 1) if authors have superior alternatives to existing high-priced journals, they will ultimately move to the outlet that better satisfies their need for both recognition and broad dissemination, and 2) if publishers have market support for bold (but inherently risky) new ventures, they are more likely to make the investment. SPARC seeks to get the ball rolling by offering prestige, readers, and reduced risk through its "publisher partnership" programs. To do this, SPARC collaborates with qualified scientific societies and other organizations that have strong, well-established ties to authors and can attract leading editors to alternative journals. These editors attract leading research, which ultimately imbues a journal with its own prestige. At the same time, the growing recognition of SPARC and the high quality of its partners' products will add another measure of attraction to the new journals.

But what about readers—how will SPARC ensure that research is widely used and valued? Traditionally, it takes years for a new journal to establish itself. During the building period it can be difficult to attract authors, and without authors, there is no prestige (and ultimately no journal). Here is where SPARC's library support is invaluable. SPARC library members have earmarked funds to support the journals published by our partners. So in a relatively short period of time, a journal can have a respectable base of readers as a foundation upon which to further build its circulation and attractiveness to authors. SPARC expects its endorsement of new ventures will draw attention and subscriptions from the broader market beyond SPARC's membership.

SPARC also supplies an incentive to shift publishers' product development expenditures away from creating unique new journals that fill the gap between two established titles ("twigging"). By reducing the risk of competing against an established title, we offer motivation for publishers to direct their investment toward offering consumers a choice. This gives societies, for example, an inducement to launch titles that reclaim key ground lost to commercial publishers. Such strategic action will be essential in the world ahead, in which control of a critical mass of content will decide who dominates the users' desktop.

In addition to its support of competition via the "SPARC Alternatives" publisher partnership program, SPARC is already engaged in identifying solutions

that explore the dynamic of migrating content to more cost-efficient outlets. The SPARC Scientific Communities Initiative is a good example of this. SPARC will be providing seed capital to stimulate and accelerate creation of new university-based "scientific information communities" serving users in key segments of science, technology, or medicine (what has been called the "discipline-based server model"). This model offers a promising strategy for addressing inefficiencies in the current scholarly communication process.

A vital step in addressing the scientific journals market is to understand its segmentation and the forces and motivations at work on it. That is what SPARC is doing. Solutions won't come to us in a vision. And they won't come from SPARC alone. They will evolve and emerge through the kind of market engagement SPARC and others have begun. By starting at the beginning, putting one foot ahead of the other, SPARC is initiating change that will ultimately lead to more open and accessible scholarly communications.

*Note: Rick's commentary is excerpted from his article that appeared in the March 1999 issue of the* Newsletter on Serials Pricing Issues *<http://www.lib.unc.edu/prices/1999/PRIC218.HTML>.*

# SPARC NOTES

*by Alison Buckholtz, SPARC Communications Manager*

## Mark Your Calendar

SPARC's first membership meeting, "Opportunities for Scholarly Communications: Crafting New Models," will take place on October 14 and 15, 1999 in Washington, D.C. (immediately following ARL's Membership Meeting). It will be a hands-on event focused on brainstorming and problem solving. Details will be available soon.

## Scientific Communities Initiative

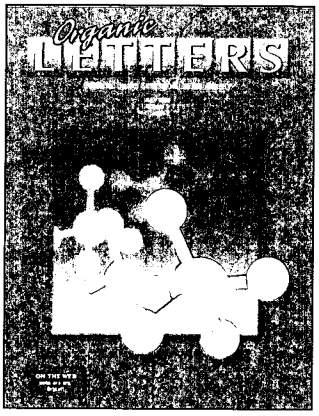
SPARC has announced the availability of grants to stimulate and accelerate creation of new university-based "scientific information communities" addressing users in key segments of science, technology, or medicine (what has been called the discipline-based server model). Full information and application materials will be available on the SPARC web page <http://www.arl.org/sparc/>.

## Free Access to *PhysChemComm*

The Royal Society of Chemistry announced it will offer free access in 1999 to its new SPARC Alternative journal, *PhysChemComm*, for any full price subscriber to its flagship journal, *Chemical Communications* (*ChemComm*). If your library is eligible, log in your IP address on the RSC website <http://www.rsc.org/is/journals/current/ipreg.htm>.

## Praise!

A recent letter from Michael Rosenzweig, founder of SPARC partner *Evolutionary Ecology Research* (*EER*), reports: "Without a doubt, *Evolutionary Ecology Research* would have failed without the help of SPARC.... [L]arge research libraries being the necessarily slow moving organizations that they are, I still believe that the subscriptions we have gotten so far are merely the beginning. Subscriptions are still coming in. It is far too early to assess the totals." Keep those orders coming. More information is on the Web <http://www.arl.org/sparc/eer1.htm>.




## *Organic Letters* Launches

*Organic Letters*, a SPARC Alternative journal from the American Chemical Society, launches in July 1999. The journal's web edition will be free for the first three months, and the print edition will be free for individual subscribers for the first six months. For more information, see <http://www.pubs.acs.org/journals/orlef7/index.html>.

## SPARC & Health Sciences

SPARC gained support in the health sciences community with the announcement that the Medical Library Association (MLA) and the Association of Academic Health Sciences Libraries (AAHSL) have become SPARC affiliates. Budgets of health science libraries have been hit particularly hard by escalating scientific journal prices. According to EBSCO figures, the average price for an *Index Medicus* title jumped more than 50 percent between 1994 and 1998.

## International Support Growing

The University of Manchester's John Rylands University Library (UK) has become SPARC's first non-North American member. It is the third largest academic library in Britain, formed in 1972 by the merger of Manchester University Library and the internationally renowned John Rylands Library.

SPARC already has affiliations with several library organizations beyond North America: the Conference of Directors of Research Libraries (Denmark), the Council of Australian University Librarians (CAUL), and the Standing Conference of National & University Libraries (SCONUL, UK and Ireland).

Overall SPARC membership now stands at over 160 members and seven affiliate organizations. Welcome to the following new SPARC members: Boston College (founding member), University of Missouri-Kansas City (supporting member), Northeastern University, and South Dakota State University.

*Mary E. Jackson, ARL Senior Program Officer for Access Services*

## MOVING TOWARD ILL SYSTEM GLOBAL INTERCONNECTIVITY

During the last half of 1998, significant breakthroughs were made toward achieving the goal of interoperability of interlibrary loan (ILL) messaging systems. In this short timeframe, limited testing by a few vendors grew to the introduction by The Library Corporation, Ameritech, and Pigasus Software, Inc. of ILL systems able to exchange transactions using the international standard for interlibrary loan communication, the ISO ILL Protocol. In addition, OCLC, RLG, MnSCU/PALS, Clio Software, and Fretwell-Downing have expanded their testing with other members of the ILL Protocol Implementors Group (IPIG) during this time and several of these plan to introduce Protocol-compliant systems this summer.

Development of Protocol-compliant ILL messaging systems is occurring in tandem with completion of the IPIG Profile—the document that records a common set of decisions, options, and values agreed upon by IPIG members. Compliance with the IPIG Profile will advance interoperability among systems claiming compliance, as these systems will implement the same optional choices and be developed using the same understandings of the international standard as documented in the IPIG Profile. Systems conforming to the IPIG Profile may be able to communicate with systems that cannot or choose not to conform to the IPIG Profile, but interoperability can not be assured.

In late February, IPIG members finalized work on the IPIG Profile. The draft will be submitted to all IPIG members for a formal vote this spring and, assuming approval, the document will be available for use by vendors if they wish their ILL systems to be capable of operating with other Protocol-compliant ILL systems. Reaching consensus on the IPIG Profile has required many compromises on the part of all IPIG members. As one example, the IPIG Profile requires that email be supported for communication, but strongly recommends support for direct-connect communication systems (such as the systems now in use by OCLC and DOCLINE) as an optional communication method. Although some IPIG members strongly preferred direct-connect, the group did understand the need to require one type of communication to ensure that systems can exchange ILL requests. After considerable debate, the IPIG opted for email as the required communication method to ensure that systems are able to exchange ILL requests.

Collaboration among IPIG members has been consistent and at a high level. A toolkit developed by The Library Corporation is used by RLG and several other vendors as the basis of their ILL applications. The first months of 1999 brought a wave of new testing—testing of new messages by partners that had tested a few messages in 1998, and transmission of the first test messages by several IPIG members.

The current state of system interoperability and the status of testing will be featured at the ARL Directors Forum on Managing ILL/DD Operations on Friday, June 25, 1999 in New Orleans. The Forum will showcase ILL systems that use two different types of communication supported by the ILL Protocol and IPIG Profile. The first, peer-to-peer, permits ILL departments to send email requests directly to other ILL departments. Peer-to-peer communication requires each partner to maintain a separate copy of the transaction, but it also eliminates the requirement that both libraries must use the same messaging system. The second type, direct-connect, is more familiar—use of centralized ILL systems such as OCLC or DOCLINE—in which the two libraries access and update a single copy of the request. The Directors Forum will also provide a tool for the library community to evaluate the validity of the growing number of marketing claims by vendors offering Protocol-compliant ILL systems.

The need to send and receive ILL requests easily and cost-effectively across national borders has surfaced in two of the AAU/ARL Global Resources Program projects: the Japan Journal Access Project and the German Resources Project. Both projects have encountered issues of how interlibrary loan and document delivery requests should be transmitted because the ILL systems in the U.S., Japan, and Germany are not yet fully Protocol-compliant. The ARL ILL/DD Performance Measures Study confirmed the cost-effectiveness of ILL operations that use a single messaging system, which would be possible if all ILL systems were able to send and receive ILL transactions via the ILL Protocol. At some future date, a Japanese library will be able to use NACSIS, the union catalog and ILL system used by Japanese university libraries, to send an ILL request to a U.S. library, which would receive it via OCLC. In February, NACSIS agreed to implement the ISO ILL Protocol, an important step toward interconnectivity. It is hoped that this testing will lead to a U.S. library using OCLC to send a request to a German library that would receive and respond to it via their preferred ILL messaging system. Discussions about testing the Protocol by the German system, GBVdirekt/NA, have just begun.

A number of IPIG members are poised to move from testing to production use of the ILL Protocol as soon as the IPIG Profile has been formally approved. The IPIG Profile is an important infrastructure step in facilitating global sharing of resources as advanced by the AAU/ARL Global Resources Program.

*Julia Blixrud, Director of Information Services*

## ARL LIBRARIAN SALARIES INCREASED 2.8% IN 1998-99

*by Martha Kyrillidou, Senior Program Officer*

The median salary for ARL university librarians was $45,775 in 1998-99, according to the recently released *ARL Annual Salary Survey 1998-99*. This is a 2.8% increase compared to last year's median of $44,534, whereas the Consumer Price Index (CPI) increased 1.6% during the same period. Beginning professional salaries increased even more, 5.3%, from $28,500 in 1997-98 to $30,000 in 1998-99. Librarian salaries in ARL nonuniversity libraries though increased only 1.7% from $55,055 to $56,000.

The salary increase was even larger for the subgroup of U.S. university librarians, whose median salary was $46,130 in 1998-99, a 3.7% increase since last year, more than twice the rate of inflation. Although we do not have data for university professors for 1998-99 as of the writing of this article, the latest report covering 1997-98 published by the American Association of University Professors (AAUP) finds that professors received average increases of 3.4%, similar to the level of increases U.S. ARL university librarians received in the same year. Overall, however, university professor salaries are much higher compared to university librarian salaries; the average salary for a university professor at a doctoral institution in 1997-98 was $61,816 compared to an average salary of $48,680 for ARL university librarians.[1]

Librarians at private U.S. ARL university libraries earn more than their public counterparts. The differential in FY 1998-99 was $2,542, slightly larger than last year's $2,220. Salaries at private U.S. institutions increased 4% over the last year, whereas salaries at public U.S. institutions increased slightly less (3.5%) and salaries in Canadian institutions declined (-1.4%) when expressed in U.S. dollars, due to the all-time low record of the U.S./Canadian dollar exchange rate. In 1998-99, the average salary at private U.S. institutions was $51,777, at public U.S. institutions $49,235, and at Canadian institutions $44,601 (U.S. dollars).

### ARL ACADEMIC LIBRARIANS, FY 1998-99*

| | Women | Men | Combined |
|---|---|---|---|
| Average Salary | $48,430 | $51,696 | $49,624 |
| Average years of experience | 17.1 | 17.5 | 17.2 |
| Total number of filled positions | 4,427 | 2,552 | 6,979 |
| Minority librarians' average salary (U.S. only) | $46,453 | $50,385 | $47,525 |
| Total number of minority librarians (U.S. only) | 520 | 195 | 715 |
| Total number of directors | 52 | 58 | 110 |

*Excludes law and medical libraries

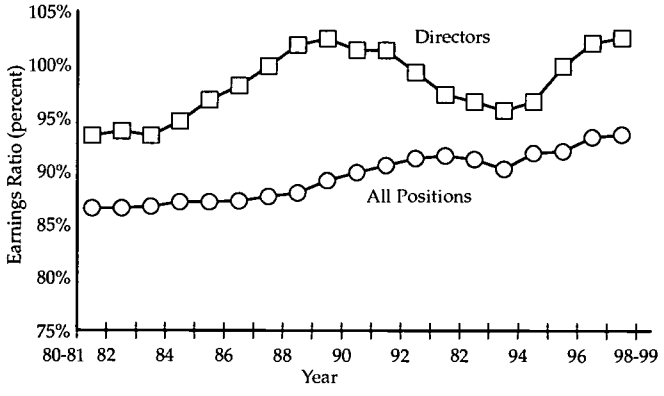
Source: *ARL Annual Salary Survey 1998-99*

The average salary of Canadian ARL university libraries salaries was $63,231 (Canadian dollars) in 1998-99, an increase of 2.3% since 1997-98. Women librarians' salaries increased 2.8% in Canada, whereas men's salaries declined about 1%.

On average, women's salaries in all ARL university libraries (excluding law and medical libraries) were $48,230 in 1998-99, a 3.3% increase since last year. Men's average salary was $51,696, a 3% increase since last year. The average salary for female directors in university libraries was again higher this year compared to the male directors, 3.3% higher. However, at medical libraries, female directors earned 11.6% less than male directors, while at law libraries they earned 8.6% less.

Looking at salaries over an 18-year period of time and holding constant the number of libraries, we can see in the accompanying graph that women are gradually closing the earnings gap across different job categories, but the process is very slow. Overall, women in research library professional positions earned 87% of men's salaries in 1980-81, 89% in 1988-89, and 93% in 1998-99. This finding validates the perception that a gender gap persists in academe, including areas beyond the library, and that a renewed commitment to resolve the problem is needed.[2]

### FEMALE TO MALE EARNINGS RATIOS




Minority librarians in the 97 U.S. university libraries, including law and medical, number 854 (an increase of six over the previous year) and account for 11.1% of the professional staff. The average salary of minority librarians was $47,525, $2,099 less than non-minorities' salary average. Women minorities' salary is 92% of men minorities' salary.

The *ARL Annual Salary Survey 1998-99* is available for $35 to member libraries and $70 for nonmembers (plus $6 shipping and handling per publication), and is available on standing order. Please contact ARL Publications at <pubs@arl.org>.

[1] Courtney Leatherman, "Faculty Salaries Increased 3.4% in 1997-98; Highest Raises Were at Doctoral Institutions," *The Chronicle of Higher Education* 10 Apr. 1998: A14.

[2] Yolanda Moses, "Salaries in Academe: The Gender Gap Persists," *Chronicle of Higher Education* 12 Dec. 1997: A60.

*Prudence S. Adler, Assistant Executive Director-Federal Relations and Information Policy*

## RETHINKING ACCESS TO FEDERALLY FUNDED RESEARCH DATA

A brief yet significant provision in the FY 1999 Omnibus Appropriations bill has initiated a spirited debate in the research and education communities regarding public access to federally funded research data. The provision directs the Office of Management and Budget (OMB) to require federal awarding agencies to ensure that data produced under a federal award be made publicly available via the Freedom of Information Act (FOIA). Complying with the legislative mandate, on February 4, OMB published a draft revision to Circular A-110, a Circular that provides the rules of the road regarding grants and agreements with institutions of higher education, hospitals, and other nonprofit organizations.

The inclusion of the provision in some legislative vehicle was a long-term goal of selected members of Congress. These members have long sought to have access to federally funded research studies that serve as the basis for new federal regulations. Most recently, the issue surfaced last summer in the Senate Report for the Treasury and General Government Appropriations bill which stated: "An issue of growing concern to the Committee is the public's lack of access to Government funded research data despite existing statutory and administration guidelines mandating access. Given the prevalent use of Government funded research data in developing regulations and Federal policy, it is important that such data be made available to other interested agencies and to the public on a routine basis for independent scientific evaluation and confirmation." Additionally, during the floor debate in the Senate on this issue in September, Sen. Faircloth, joined by Sens. Lott, Campbell, and Shelby, addressed issues of particular concern, including access to research data regarding environmental tobacco smoke and health risks, a revised particulate matter standard, and criteria for listing new endangered species.

Many in the higher education, research, and scientific community have expressed serious reservations with the original legislation mandating the OMB revision. Some key concerns include: What is the definition of data? When do the data have to be publicly released? Under what conditions is the privacy of individuals protected? How long will a researcher be required to provide access to research data? Does the researcher, institution and/or agency bear the cost of compliance? How will these regulations affect public/private partnerships and CRADAs? And what are the impacts of the proposed rulemaking on data archives?

With only the appropriations committees engaging on this issue and no hearings in either appropriations or authorizing committees such as House Committee on Science, Rep. George Brown (D-CA) introduced legislation, H.R. 88 to repeal the provision included in the Omnibus Appropriations bill. There is bipartisan support for the Brown legislation.

*A full text of the OMB-proposed revision is available via: <http://www.whitehouse.gov/WH/EOP/OMB/html/fedreg/a-110rev.html>.*

## LIBRARIES SUPPORT FUNDING FOR LC & GPO

*by Bradley Houseton, ARL*

On February 10, the House Subcommittee on Legislative Appropriations convened to hear testimony regarding the Fiscal Year 2000 budget requests of the Library of Congress (LC) and the Government Printing Office (GPO), among other government institutions that rely on legislative branch appropriations. Two representatives testified on behalf of five library associations: ARL, ALA, AALL, MLA, and SLA. Patricia Wand, University Librarian, American University, gave testimony in support of LC's FY2000 budget request. Ridley Kessler, Jr., Regional Documents Librarian, University of North Carolina at Chapel Hill, gave testimony in support of GPO's FY2000 budget request.

In her remarks, Patricia Wand stressed the importance of LC's role in the larger library community across the nation. She cited the growth of the digital networked environment and how the Library is meeting the challenge of efficiently disseminating information to users through new technologies and equipment. In support of the Library of Congress's total budget request of $383.7 million, Ms. Wand focused her testimony on Services for the Blind and Physically Handicapped, Technology Initiatives, the Law Library, Security Measures, and the Staff Success Program.

Ridley R. Kessler, Jr. noted the significance of public access to government information and how this access is based on principles the library community and Congress deem essential in our democracy. In addition, Mr. Kessler emphasized the importance of the partnership that exists between the GPO and the regional depository libraries and the collective efforts to carefully make the transition to a more electronic Federal Depository Library Program (FDLP), while maintaining the level of tangible materials, including print, microfiche, maps, CD-ROM, etc. In support of the GPO Public Printer's total FY2000 budget request of $31.2 million, Mr. Kessler focused his testimony on FDLP electronic resources and collections, *GPO Access*, and the revision of U.S.C. Title 44.

*Patricia Wand's and Ridley Kessler's full testimonies are available at <http://www.arl.org/info/letters/>.*

*Lee Anne George, Program Planning Officer*

## FROM THE EDITOR

For the past decade, ARL has published *ARL: A Bimonthly Newsletter of Research Library Issues and Actions*. This publication was originally designed to convey news and to highlight the issues being addressed by Association programs and activities. Over time, the growing acceptance of email and websites allowed the Association to report news faster and more efficiently by these other means. This gave the newsletter leeway to give more focus to the issues and, as a result, to become a very different kind of publication. Increasingly, space was given to longer articles, especially those that describe innovative changes underway in libraries or seek to influence external forces affecting research libraries and scholarly communication.

The broadening of scope in this publication was a natural one, reflecting the same trend underway within Association programs. Looking back, the evolution of the publication was accelerated by the nature of the agenda and the quality of writing contributed to it by the Coalition for Networked Information. The recent arrival of SPARC and the enthusiastic profusion of new members, new ideas, and new authors have tipped the scale. To mark this point, we have decided to publicly state the obvious: labeling this publication an "ARL newsletter" is no longer accurate. With this issue, it is renamed *ARL: A Bimonthly Report on Research Library Issues and Actions from ARL, CNI, and SPARC.*

This title change is a first step in a process to review the publication and assess how it could best meet the needs of the several audiences we intend for it to serve, including all the members and constituencies of ARL and SPARC, and as a key communications vehicle to inform the research library community about CNI's work. The name change is consciously subtle for a practical reason: to avoid triggering work updating library serial records for what may be an interim name change. We do intend, however, for the change to send a signal to readers and potential authors that the scope of *ARL: A Bimonthly Report* reaches beyond ARL institutions and that the format is "more than a newsletter."

*—G. Jaia Barrett <jaia@arl.org>*

## HONORS

**Susan K. Nutter**, Vice Provost and Director of Libraries, **North Carolina State University**, has been awarded the Hugh Atkinson Memorial Award. The award recognizes a leader who has "contributed significantly to improvements in the area of library automation, library management, and/or library development or research."

**ARL Diversity Program:** *Leading Ideas*, ARL's bimonthly report on issues and trends in diversity, leadership, and career development, was awarded first place in the newsletter category in the 1998 Graphic Communications Competition, sponsored by the Printing Industries of Virginia.

## TRANSITIONS

**Connecticut: Paul J. Kobulnicky** was appointed to the position of Vice Chancellor for Information Services and University Librarian, effective January 1, 1999. Also effective January 1, **Brinley Franklin** became Director of Library Services and assumed greater responsibility for operation of the Libraries.

**Kent State: Don Tolliver** has agreed to serve as Interim Chief Information Officer for Kent State University while a national search is conducted to fill the position. **Mark Weber**, Associate Dean of Libraries and Media Services, is serving as Interim Dean of the Library.

**Yale: Scott Bennett**, University Librarian since 1994, has announced his plans to retire in the summer of 2001.

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**ALA Washington Office: Adam Eisgrau**, legal counsel for the ALA Washington Office, has resigned. He has taken the position of Director of Federal Relations and Public Policy with Handgun Control, Inc., an organization chaired by Sarah and Jim Brady.

**Institute of Museum and Library Services: Diane Frankel** stepped down as Director of IMLS at the end of March to join the James Irvine Foundation in California. **Beverly Black Sheppard** was named Acting Director. Since June 1998, Sheppard served as Deputy Director of IMLS, Office of Museum Services; she has more than 16 years of professional museum experience. IMLS also announced that **Joyce Ray** will be detailed to the position of Director, Office of Library Services.

**NELINET: Arnold Hirshon** was appointed Executive Director of NELINET, effective mid-April 1999. Hirshon replaces **Marshall Keys**, who retired after serving 10 years as NELINET's Executive Director.

## New Address for ARL Publications Established

Effective March 1, 1999, ARL has moved its publication ordering and customer service functions offsite to a contractor. Please begin using the following address and numbers immediately:

ARL Distribution Center
P.O. Box 531
Annapolis Junction, MD 20701-0531
Phone: (301) 362-8196
Fax: (301) 206-9789
Email: <pubs@arl.org>
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A BIMONTHLY REPORT ON RESEARCH LIBRARY ISSUES AND ACTIONS FROM ARL, CNI, AND SPARC

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**Executive Director:** Duane E. Webster
**Editor:** G. Jaia Barrett, Deputy Executive Director
**Assistant Editor:** Karen A. Wetzel
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# ARL Calendar 1999

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|---|---|
| May 3–4 | License Review and Negotiation: Building a Team-Based Institutional Process<br>*Washington, DC* |
| May 4–6 | Facilitation Skills Institute<br>*Seattle, WA* |
| **May 11–14** | **ARL Board and Membership Meeting**<br>***Kansas City, MO*** |
| May 19–21 | Training Skills Institute: Managing the Learning Process<br>*San Diego, CA* |
| May 21 | Copyright in the New Millennium: The Impact of Recent Changes to U.S. Copyright Law<br>Teleconference, 12–3 p.m. EDT |
| June 3–4 | Project Management Institute: Getting Things Done or Getting the Outcomes You Want<br>*Evanston, IL* |
| **July 26–27** | **ARL Board Meeting**<br>***Washington, DC*** |
| September 16–17 | License Review and Negotiation: Building a Team-Based Institutional Process<br>*Dallas, TX* |
| October 7–8 | Leading Change Institute<br>*San Antonio, TX* |
| **October 12–14** | **ARL Board and Membership Meeting**<br>***Washington, DC*** |
| October 26–29 | EDUCAUSE '99<br>*Long Beach, CA* |
| October 26–29 | Library Management Skills Institute II: The Management Process<br>*Evanston, IL* |
| November 3–5 | Assistant/Associate Librarian Institute<br>*Charleston, SC* |
| November 10–12 | Edgework Institute: Stimulating Innovation in Libraries and Information Services<br>*Washington, DC* |
| November 17–19 | Library Management Skills Institute I: The Manager<br>*Atlanta, GA* |

## Save the Date for SPARC!

SPARC's first membership meeting, "Opportunities for Scholarly Communications: Crafting New Models," will take place on October 14 and 15, 1999 in Washington, D.C. See <http://www.arl.org/sparc/>.

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# DISTANCE EDUCATION & THE COPYRIGHT LAW

In the fall of 1998, following years of debate, Congress passed far-reaching legislation to update selected aspects of the Copyright Act of 1976 to meet the challenges of the digital environment. One key aspect of that debate—how best to update the pertinent section of the Act (section 110) that addresses educational interests regarding distance education—proved to be both complex and extremely contentious. As a consequence, many members of the Senate Committee on the Judiciary called for a Copyright Office study to examine "how to promote distance education through digital technologies." This study, included in the final Digital Millennium Copyright Act, has been underway for the past six months and the final report is expected shortly.

During the course of the study, the Copyright Office conducted hearings throughout the country and solicited comments from a vast array of interested parties. In both hearings and public comment, the Office requested commentary on issues relating to technology readiness, licensing, appropriateness of guidelines, and more.

Based on a review of many of the statements, a rather consistent message emerged from members of the proprietary community. Namely, change is not needed to the law to address distance education issues. Instead, a focus on licensing is sufficient as well as allowing the technology to evolve and mature. The education and library communities' message was also consistent. Change is required to update the statute and licensing is by no means a replacement for an appropriate statutory fix. In addition, many echoed the following themes as noted by Robert Lapiner, Dean of Continuing Education and University Extension, UCLA:

- Education is education, regardless of the medium in which the learning experience takes place. The existing frameworks that govern "live" education apply uniformly in comparable "distance" formats, whatever the technological platform.
- Security is already in place. Access is carefully controlled.
- The infrastructure to ensure uniform respect of standards already exists.
- "Reasonable standards" are sufficient. Distance education providers should be directed to use all reasonable means to adopt the use of electronic safeguards to protect copyright holders.

The comments that follow are excerpted from statements presented to the Copyright Office by members of the library and educational community. They were selected to provide an overview of the issues as Congress considers these concerns in the months ahead. The complete statements, and those of many others, may be found on the following website: <http://lcweb.loc.gov/copyright/disted/comments.html>.

*Prudence S. Adler, Assistant Executive Director-Federal Relations and Information Policy*

## LIBRARY ROLES IN DISTANCE EDUCATION PROGRAMS

With the rapid growth in distance education initiatives, there is an expanding role for libraries in distance education support services. Experience to date demonstrates a variety of programs supported by different

academic departments with the library providing a number of services. These distance education programs range from instruction at remote sites by traveling faculty, to satellite transmission, to distance learning via the network with students and faculty working from a variety of settings. The challenge to the library is to support all of these disparate activities which, in part, calls for experimentation to address evolving programs. Such support can include maintenance of off-site collections at regional centers and campuses, inter-library loan units, other delivery services including electronic delivery of information resources, reference assistance, and access to needed materials locally and off-site via consortium and other arrangements.

Providing access to reserve readings in the electronic environment is one of the most innovative services being offered. Students enrolled in a distance education course may access readings online. Librarians use passwords to protect e-reserve files and make them accessible only to students enrolled in a specific course and only for the duration of the course.

In addition, librarians in many instances coordinate and manage the permissions process for distance learning courses and provide additional training and technical support to distance education students. Another key role for the library in a distance education program is to establish how these students will be authenticated to have access to licensed resources in addition to taking advantage of other library services. Ensuring effective access, both technologically and with regards to meeting information needs, is a crucially important element of a successful distance learning enterprise.

*James Neal, Dean of University Libraries, Johns Hopkins University, testifying on behalf of library associations: ARL, AALL, ALA, ACRL, MLA, and SLA*

## CHANGES NEEDED IN THE COPYRIGHT LAW TO SUPPORT DISTANCE EDUCATION

The basic objective of distance education legislation should be to enable remotely all instructional activities that are currently permitted in the classroom, provided that adequate safeguards exist against the misuse of copyrighted material that would harm the market for that material.

The following changes in copyright law should be made to achieve this objective:

1. Section 110(2) should be changed to enable the display and performance of copyrighted works at remote locations at times selected by students. Where such display or performance is distributed over digital networks, such a capacity for performance and display will necessarily require an exemption from Section 106 rights of distribution and copying, since the material must be "distributed" over networks to a computer terminal or other device and since ephemeral copies are necessarily made in the course of transmission.

2. The distinction in current law between types of works that qualify for a distance education performance exemption should be eliminated. The distinction between dramatic and non-dramatic works has never made educational sense and is now untenable in the context of new multimedia capabilities.

Now that technology allows almost any type of work to be combined with other types of work in a multimedia presentation, a law that allows a still image to be displayed distantly, but does not allow that same image in motion media to be performed distantly undermines the educational possibilities of distance education. But the current 110(2) exemption limits the performance right to non-dramatic literary or musical works, placing significant handicaps on distance education programs. Scholarship does not draw such distinctions between the many and varied forms of art, music, literature, and other forms of information and entertainment. One cannot study modern culture or ancient civilizations without studying all their manifestations, but the current exemption draws educationally irrational distinctions that limit the quality of a distance education course for the student. Moreover, it adds to the cost of producing the programs, because courses prepared for and presented in the classroom must be specially edited in order to qualify for distance education.

Performances allowed in a traditional classroom should also be allowed in distance education, and the law should be changed accordingly.

3. These extensions of the 110(2) display and performance exemptions should be available under circumstances where the educational institution can provide reasonable protection against downstream reproduction and redistribution.

Copyright owners have a valid concern about unauthorized copying and distribution. Colleges and universities, which are owners as well as users of copyrighted materials, share this concern. To protect against unauthorized copying and distribution, the extension of the distance education exemption to include all material that can be displayed or performed in a traditional classroom should be limited to circumstances where reproduction and redistribution can reasonably be prevented.

Under these circumstances, there is no reason to treat performance or display in distance education differently from performance or display in a classroom.

The educational benefits to society are considerable, and the risk of market harm is minimal. This approach also eliminates the shifting distinctions between different and rapidly evolving kinds of technology and between categories such as synchronous and asynchronous transmission, local and remote delivery of educational content, and classroom and non-classroom settings that currently cloud the debate about copyright and distance education.

With this approach, the exemption would apply when the copyrighted material is transmitted to students at a remote location through video-teleconferencing. The exemption would also apply when the material is transmitted to a student over the Internet to a home computer terminal, if the technology used reasonably prevents downloading or redistribution of the work.

A reasonably secure mode of delivery does not provide absolute assurance that the displayed or performed material cannot be reproduced or redistributed; indeed, it is technically possible to reproduce a classroom performance. Reasonable protection would mean that material is not easily reproducible or redistributable. Under these circumstances, digital works made available for distance education would be at no greater risk than digital works made available directly by publishers to consumers. In practice, material distributed by higher education institutions in the context of institutional policies governing the appropriate use of copyrighted material may foster greater compliance with appropriate use policies than would otherwise be the case.

Legislation should specify the policy outcome—display and performance of all material in distance education circumstances where reproduction and redistribution can reasonably be prevented—without attempting to specify technology-specific means to achieve that end.

4. In circumstances where access to information is controlled—e.g., limited to registered students through passwords or other technological controls—but the mode of delivery cannot provide reasonable protections against reproduction or redistribution, some form of exemption should be provided but might require a stronger assurance against market harm—for example, by limiting the conditions of performance.

Thus, an institution should be permitted to perform any work in a distance education environment if reproduction and redistribution can reasonably be prevented. However, in a less secure environment where reproduction or redistribution, though unlikely, cannot reasonably be prevented, the institution might only be permitted to distribute a performance that would not have a significant market impact if inappropriately reproduced or redistributed. Such performances might include student performances or other non-commercial performances of a current dramatic work.

Although we cannot specify at this time exactly how such distinctions would be drawn, the general principle should be that the extent of a distance education exemption should vary directly with degree of control over material that can reasonably be assured. Moreover, in both secured and controlled environments, distance education programs should be accompanied by institutional policies governing appropriate use of copyrighted materials and educational efforts to inform students and faculty about the rights of copyright owners, the limitations to those rights, and the circumstances under which they apply.

### Fair Use

A specific exemption for distance education must not be construed to replace or preempt a fair use defense to an infringement claim. Fair use provisions apply to all of the rights of the copyright owner, including the right to display and perform publicly. But beyond display and performance, a fair use defense would apply to all uses of information in distance education as it would in any other circumstances. For example, a student should be able to reproduce a portion of material made available in distance education if the use to which that reproduction were put met the four-factor test of Section 107. Similarly, if copying material onto a server for students to access is not exempted under Section 110(2), an instructor might still be able to do so on the basis of fair use.

*Laura N. Gasaway, Director of the Law Library and Professor of Law, University of North Carolina at Chapel Hill, testifying on behalf of educational and computing associations: AAU, ACE, NASULGC, AACC, AASCU, Educause, and NAICU*

## The Educational Role of Libraries and the Need to Revise Section 110(2)

Do not lose sight of the fundamental, primary purpose of United States copyright law as set forth in our Constitution: to promote the progress of science and the useful arts. Two hundred years of copyright law and our copyright statute itself recognize the need for limits on the exclusive rights of the copyright holder in favor of nonprofit educational activities which advance that primary purpose of promoting the progress of science and the useful arts. Section 107 embodies our doctrine of fair use, which allows, under certain circumstances, the use of copyrighted materials without the holder's permission for

purposes such as teaching, scholarship, and research.

Section 110(1) allows teachers and students to perform or display any copyrighted work in the course of face-to-face instruction at a nonprofit educational institution in a classroom. It is this section which has allowed instructors and students to read a poem aloud, act out a play, perform musical works, display a photograph or slide, or play an entire audiovisual work embodied in a videotape. Without provisions such as these, educational institutions would grind to a halt. Can you imagine an on-line classroom where you cannot do most of those things without engaging in a lengthy and expensive permissions process?

As necessary and utilized as these provisions are, they do not mean that universities wantonly act without regard to the rights of copyright holders. When permissions or fees are necessary for uses beyond those allowed in the act, we pay the fees, if they are affordable, or we do not use the materials.

The universities of this country create vast amounts of copyrightable intellectual property, and they and their faculty are also copyright holders. Furthermore, it is axiomatic to the mission of the university to teach respect for intellectual property and the expression in which it is embodied. Plagiarism is anathema. Copyright infringement, as with other illegal activities, is prohibited.

Educating our campus communities on their rights and responsibilities with respect to copyrighted materials is the key to responsible use and is, in the final analysis, the only real solution to protection of copyrighted materials.

But what must we now tell our faculty when educating them about current copyright law provisions applicable to distance education efforts such as broadcast or "transmissions" of copyrighted materials. We must tell them about Section 110(2) of the copyright act, which restricts what kinds of copyrighted materials can be transmitted, even if the only possible recipients of the material are registered students who happen to be at a distant location. We tell them that the copyright law treats transmission of materials, which encompasses most forms of distance education using digital technologies, differently, much more restrictively, and definitely to the detriment of the quality of their course. The uses that were considered protected, legitimate, and reasonable in the traditional classroom setting are not permitted if the materials are transmitted. Why not, they ask? An excellent question, and reflective of a condition in the act that must be remedied if we are to provide affordable, quality distance education opportunities to tomorrow's learners.

*Peggy E. Hoon, Scholarly Communication Librarian, North Carolina State University*

## LICENSING NOT A SUBSTITUTE FOR COPYRIGHT LAW

Some would have it that the copyright law does not need to be updated and, furthermore, that licenses will adequately protect copyrighted material. These are two separate issues. Section 110(2) and Section 106 need to be updated to specifically encompass digital technologies.

Licenses do not adequately address the iterative nature of the research process in a digital environment. A student needs to be able to browse a wide range of resources; a library doesn't always have the handbook or article or newspaper column that the student needs, but one can't "license" quickly (or at all) one piece of information. But, more to the point, many licenses are problematic. Here are four which we will not sign because of conditions in the license; hence, this material will not be available to our users. The first license restricts access to terminals "within the library walls." Why would we sign a contract for digital networked information and then restrict use to the library building? Our goal is to extend access for educational purposes to our faculty and students through networks; and, where is the distant student in this scenario? Another license restricts access to a site or multiple sites if there are multiple campuses (at an increased cost per site). Again, how does this accommodate students who may be anywhere or who may be traveling? A third license states that subscribers shall not allow for any purpose whatsoever any part to be copied, duplicated, modified, translated, adopted, merged or dissembled. One could infer that quoting in a presentation is not allowed. And, finally, we turned down a license that limits access by IP range (which we find acceptable) but still requires each user to register and to select a password. We are concerned about issues of privacy to say nothing of the impracticability of each user remembering hundreds of passwords. As these examples demonstrate, the power to license is the power to define terms and ultimately to deny access.

*Sharon Hogan, University Librarian, University of Illinois at Chicago*

## THE DIFFICULTIES OF OBTAINING LICENSES AND PERMISSION TO USE DIGITAL INFORMATION

The University of Maryland University College (UMUC) works closely with the Copyright Clearance Center (CCC) to obtain the necessary licenses and permissions to use digital information in an effort to comply with current copyright law. The CCC is the only organization at this time that will seek

permission on behalf of an institution for the delivery of course materials through e-reserves. Unfortunately, it takes at least a month, typically much longer, to obtain permission. For academic institutions, the semester may only be three months in length, and in many cases it is a shorter period of time. The length of time it takes to get permission is a barrier to delivering the content in digital form as part of a course.

Obtaining permission to deliver e-reserves in conjunction with distance education is fraught with difficulties. UMUC has encountered numerous problems:

1. It is often nearly impossible to determine who owns the copyright for a work that is needed for course reserves. The lengthy time needed to identify the copyright holder—and then to obtain permissions—presents a significant barrier to delivering e-reserves that are the most up-to-date and relevant.

2. Copyright owners, typically the publishers, often refuse to work with the CCC and require UMUC to go directly to the publisher for permission to reproduce a work in digital form for reserves. In these cases, UMUC must approach the publisher directly after having already waited a month or more to hear from the CCC. Typically, UMUC must request copyright permission, which again is time consuming. Occasionally, UMUC is unable to use a work that is pivotal to the delivery of a course, and has to choose another item that is not as relevant as the original work chosen by the faculty member. This can occur especially with video-based materials when the rights for such materials have been sold by the owner to larger media conglomerates who may in turn refuse to license them or allow fair use.

3. Another severe problem is that the costs charged to UMUC to use information in the digital environment are much higher than the costs for making a paper copy. It is not unusual for the cost of using a single article for a course to be in excess of $3,000. For example, to place one article on electronic reserves from the Washington Post cost $1,200. The publisher charges a royalty fee and an additional fee of $46.00 per student in the course. Additionally, the permission is only for one semester and, as a result, UMUC must pay the same amount, for one copy of one article, each semester. Previously, if UMUC sought permission to make a copy of the same article in print, the publisher charged $50.00 total, a difference in cost of $1,150 and an increase in excess of 2000% over the cost of making one copy of the paper. The costs of obtaining permission are so high that it is becoming cost prohibitive for a non-profit educational institution to continue providing a reserve copy for students in a course. If universities are to provide equivalent access to information for students studying through non-traditional formats, and ensure the course materials are of the highest quality, they must be allowed to use these resources without having to pay excessive fees.

4. In some instances, the owner of a copyright refuses to allow their work to be reproduced in digital form. Regardless of the purpose of use (e.g., to educate students in non-profit, public institutions), there are several publishers—the Harvard Business School being one notable example—that refuse to allow any of their works to be made available in digitally delivered distance education courses.

The information [that] publishers own is often critical to the development and delivery of a course and their policies deprive distance education students of resources that are available to students who take courses on a traditional campus. The owners of copyright must be required to establish reasonable fees for the use of their materials. Outright refusal to allow their works to be made available in digital format could cause the debate and discussion necessary to the creation of new works to be severely restricted.

5. When copyright permission is granted to use a copyrighted work, it is only for one semester. UMUC's library must continually request permission, each semester, when the faculty member wants to use something more than once. This [is] extremely time consuming.

*Kimberly B. Kelley, Assistant Vice President, Information and Library Services, University of Maryland University College*

## The Shortcomings of Voluntary Guidelines

The Copyright Office has also raised the issue of the value of voluntary guidelines such as those discussed over the past few years under the auspices of the Conference on Fair Use. Despite extensive discussion, none of the draft guidelines were ever adopted by the higher education and library community. The proprietary community endorsed the CCUMC guidelines, but only after negotiations broke down. In fact, the CCUMC Guidelines were extremely controversial in part because of the suggestion that the guidelines could be converted from a 'reasonable safe harbor' to the outer perimeter of fair use. The leading higher education and library groups (fourteen associations) opposed them. Thus experience in this arena demonstrates that development of guidelines upon which all sectors can concur has not been productive, indeed, became a highly controversial exercise with little to show for extensive effort. The library community

does not support revisiting the process of guideline development in the distance education arena.

*James Neal, Dean of University Libraries, Johns Hopkins University, testifying on behalf of library associations: ARL, AALL, ALA, ACRL, MLA, and SLA*

## IMPORTANCE OF MAINTAINING FLEXIBILITY WITHIN CHANGING TECHNOLOGICAL ENVIRONMENTS

Adoption of new technological developments seldom happens within restrictive environments. When we are prescriptive about what is allowable, the precise things we allow may flourish, but all kinds of other things are stymied before they even start. By being too narrow and precise in defining allowable uses at the early stage of technological development, we inhibit new, interesting and exciting uses. Think ... what would have happened if, in 1980, we had followed the wishes of Hollywood studios and defined home videotaping as an infringing act that harmed the motion picture studios: it's likely that the videotape industry would have never taken off, and the Hollywood studios would be financially much worse off than today (as they earn half their revenues from the videotape market).

We must avoid moving too quickly to restrict new uses, or we will stifle the creativity and innovation that are vital for growth and development. This is true in both the commercial sector and in educational development. We need to give new technological environments the time to play out, and intervene when we can clearly see that the harm outweighs the good.

In the early stages of an innovation, rightsholders tend to be overly protective and overly cautious, and innovators need to be able to cross some rightsholder-imposed boundaries in order to innovate. This overcautiousness led the entertainment industry to oppose the VCR 20 years ago, and is leading the recording industry to oppose technological developments like the Rio today.

Distance Learning environments were given special exemption under the 1976 Copyright Act because they were perceived as a fragile new environment that had social benefits. Distance Learning is still a fragile new environment with social benefits. And with many years of a Distance Learning exemption behind us, rightsholders have still not suffered significant harm. Yet the failure to continue the Distance Learning exemption into the digital environment will be the death knell of that environment.

*Howard Besser, Associate Professor, UCLA Department of Information Studies and UC-Berkeley's School of Information Management & Syetems*

## THE NEED TO DISTINGUISH BETWEEN FORMATIVE USES OF AND CONSUMER MARKETS FOR INTELLECTUAL PROPERTIES

As we move into the digital age, it is crucial that the benefits of freedom of access to research and study aids be extended to the new realities of teaching. The rights students now have to consult and access library and course materials, and the rights teachers now have to expose students to such materials, should be echoed in the protocols applied to distance education. Similarly, the restrictions now placed on users to prevent misuse of copyrighted materials they access should be borne by the recipients of distance education programs.

Creating intellectual property is like farming: you can only reap what you sow. And the university is one of the soil beds into which these seeds must be cast. The current desire among some providers of intellectual properties to maximize profits at the cost of future growth in the final analysis will prove to be self destructive and contrary to American interests. For a robust and fertile market we must distinguish between formative uses of, and consumer markets for intellectual properties; we must encourage giving educators continued access to digital materials, and must not impose restrictions that inhibit students from learning how to use the products of the past and present to create the products of America's future. We must cling to and act on our belief that education is an investment for the future.

*Katie Hollander, Director of Development and Special Projects, College Art Association*

## COPYRIGHT OFFICE NOTICE

As this issue of *ARL* goes to press, the Copyright Office announced that its Report on Copyright and Digital Distance Education will be released on May 25. It will be published on their website <http://lcweb.loc.gov/copyright/disted/> that day; copies of the Report, together with additional volumes of comments, reply comments, and hearing transcripts, will be made available for purchase through the Government Printing Office in June.

*Mary M. Case, Director*

## COMMUNITY RESPONDS TO PROPOSALS REGARDING THE JOURNALS CRISIS

The participants in the Pew Roundtable on Managing Intellectual Property in Higher Education concluded that universities have it within their power to work with each other and scholarly societies to transform scholarly communication into "a system of electronically mediated publications that will provide enhanced access to scholarly information and relief from the escalating prices of commercial publishers." As one of the sponsors of the Pew Roundtable, ARL continues to play an active role in engaging the community in discussions of strategies to achieve this transformation.

In this spirit, ARL invited presentations last October from two provosts who had developed proposals about how to address the problems of journal publishing in science, technology, and medicine (STM). Excerpts of these papers were included in *ARL* #202 (February 1999) with encouragement for comment and further discussion. A number of comments were received with opinions ranging widely. Most comments were directed specifically at University of Kansas Provost David E. Shulenburger's proposal to create a National Electronic Article Repository (NEAR). According to Shulenburger, NEAR would be a public domain repository of scholarly works created by requiring authors to deposit their articles within a certain period of time after they had been published in a journal. This deposit system would require that authors retain some rights to their work, not transferring the entire copyright to the publisher.

Some respondents were very positive, stating that NEAR's concept of "licensing publicly-funded research to commercial organizations only for a limited period ... [could] form a sound basis for the future of scholarly communication."[1] The Big 12 Plus Consortium of Libraries[2] issued a Statement of Endorsement of Shulenburger's proposal (see box, p. 10). Other respondents felt that the proposed 90-day limit on exclusive rights for the publisher would be much too brief to provide an incentive to publish, but supported the concept if the timeframe were lengthened. Great concern, however, was expressed by publishers in the humanities and social sciences who believe that they will be disastrously affected by proposals like NEAR meant initially to address the crisis in STM journals. The primary focus of their concern is change to copyright ownership practices.

The full range of these responses formed the basis for further discussion in May at the ARL Membership Meeting. Provost Shulenburger, at the end of his presentation last October, had challenged the ARL community to help refine or reject the NEAR concept. The ARL Board requested that the Scholarly Communication Committee coordinate the Association's response. At the conclusion of the recent ARL meeting, the ARL Board passed a resolution[3] recommended by the Scholarly Communication Committee that commended Provost Shulenburger for his leadership and energy in bringing the need to transform scholarly communication to the attention of faculty, administrators, and university governing bodies, and for his commitment to stimulating discussion as evidenced by his proposal to create NEAR.

The Board went on to lend their encouragement and support to ARL's active engagement and refinement of Provost Shulenburger's and other proposals to transform scholarly communication. To do so, ARL will seek opportunities for broad involvement by all of the stakeholders, including scholarly societies and nonprofit publishers, and is committed to playing a catalyzing role in bringing the stakeholders together to work toward consensus on this complex set of issues.

One important forum for reaching such a broad constituency is the National Humanities Alliance (NHA), where key leaders of the humanities and the social sciences, as well as representatives of university presses and libraries and invited guests such as representatives of university administrations, convene. ARL is a member of this alliance and is committed to working within this context, as one opportunity, toward a better understanding of humanities and social science publishing and the full ramifications of NEAR and other proposals to find relief from escalating prices of scholarly resources.

Following are two letters—one from Janet Fisher, MIT Press, and another from members of the NHA—calling for libraries to bring together university administrators with the humanities and social sciences communities to work in partnership to ensure a robust society- and not-for-profit-based publishing enterprise. As confirmed by the Board, ARL is committed to such efforts and is seeking additional opportunities for bringing the stakeholders together.

[1] Fred Friend, Chair of the Advisory Committee on Scholarly Communication of the Standing Conference of National and University Libraries in the UK, 26 Nov. 1998. See <http://www.arl.org/scomm/>.

[2] The Big 12 Plus Libraries Consortium is a regional consortium of 23 research and academic libraries located in the greater Midwest & Rocky Mountain area. See <http://www.library.okstate.edu/big12/>.

[3] See <http://www.arl.org/scomm/near.html> for the full text of the resolution.

*Continued*

## Fisher's Response to NEAR Proposal

I appreciate the fact that administrators at universities are increasingly aware that the scholarly communication system is under enormous strain. The proposal from David Shulenburger, however, overlooks a number of important aspects of the current scholarly communications system that benefit libraries, universities, and researchers.

First, he believes that the price of scholarly journals would go down if publishers were allowed exclusive publication rights only for a period of 90 days. On the contrary, journal publishers would lose subscriptions and would therefore have to raise prices to the remaining subscribers because of the very short time in which to recover the approximately $2,000 cost they incur to produce each article in the first place. I expect many libraries would still feel the need to subscribe to STM journals, so this would put even more strain on their budgets. So the prices of journals in the fields where the prices are already high would just go even higher.

Second, he believes that "new journals would be free to spring up, but their impact on library costs would be tempered by the reality that the material they contain would be in NEAR 90 days after publication." The assumption is that libraries would find it less necessary to subscribe to new journals, which would make it virtually impossible for publishers to invest in producing them and bringing them to the world market. Maybe he really means new journals would be free to spring up from venues outside of the current publishing system. But new publications from nontraditional venues are not likely to be easier for librarians to deliver to their patrons. Instead, there are more likely to be publications that go direct to the scholars and leave the librarians out. They are likely to be less dependable, less permanent because they rely on soft money, less likely to be in the indexing and abstracting sources that researchers and students rely on, and not available in archival forms that librarians prefer (such as microfilm and print).

Third, Professor Shulenburger asserts that non-profit publishers (as well as for-profit publishers) "are raising prices far more rapidly than their costs are increasing in the effort to gain all the economic value in the article that they publish, not just the value added." Most non-profit publishers find themselves at a distinct disadvantage in the current marketplace. The level of consolidation is making it more difficult for publishers with smaller numbers of journals (i.e., most non-profit publishers) to bring their journals to the attention of the library market. Librarians are rushing to acquire as much electronic content as they can in one transaction, which is further stressing non-profit publishers. In addition, such publishers have historically priced their journals at much lower rates than commercial publishers because they believed their mission was to enhance the distribution of scholarly research rather than make profits for themselves. This was great for universities in the short run, but now non-profit publishers find themselves needing funds to acquire the hardware, software, technical expertise, and new systems for marketing the electronic now required. In order to remain in the running with authors, editors, and journal sponsors, non-profits must develop digital versions of their print products. If they don't, more and more journals will go to commercial publishers. Is that what universities want?

Fourth, universities do not just altruistically support the scholars that do the research we publish. They also rely on journals—and the publishers that publish them—to do the quality peer review that they rely on in tenure decisions. Journals offer scholars the assurance that the broader academic community will review their work, not just a limited group of scholars at their own university who may or may not be experts in their particular field. In addition, many universities rely on journals for revenue return to the university. Journal publishers frequently pay universities for services they provide for journal editors, and I guess that commercial publishers quite often pay universities more than non-profits. The amount of payment back to the university from the journal publisher can be an important factor in an editor's decision to go with a particular publisher. Commercial publishers then charge more for the journal at least partially because their costs are higher, and it comes out of the pockets of universities when their libraries purchase the title.

Fifth, what about distribution in alternative forms than print? Would the appearance of an article in the NEAR database mean the article would not need to be produced in microfilm or microfiche, or distributed in digital format through an electronic journal delivery system such as OCLC, SwetsNet, Dawson's Information Quest, HighWire, Ebsco Online, or Blackwell's Electronic Journal Navigator? If NEAR were created, I wonder if individuals would still find it necessary to go to the library? Would the library be marginalized and become unnecessary?

Sixth, who will pay the cost of NEAR. The Los Alamos Preprint Archive in Theoretical Physics is funded through substantial NSF grants. The figure I heard at the recent ARL/AAUP/ACLS Symposium was $350,000 per year. The cost of NEAR would be substantially higher than that since it would include articles in all fields. Will authors be willing to pay page charges to help cover these costs? I doubt it, since page charges are common in certain disciplines but certainly not most. In fact, the institution of page

charges by US publishers created even more opportunity for commercial publishers to compete because they did not require page charges.

ARL could help the development of solutions by supporting face-to-face meetings of these key administrators with several experienced journals managers from the nonprofit sector. I would be happy to work with the AAUP, ARL, and ACLS to develop such a team of journal publishers.

*Janet Fisher*
*Associate Director for Journals Publishing*
*The MIT Press*

*April 21, 1999*

## NHA's Response to Provosts' Proposals

The February 1999 *ARL Bimonthly Newsletter of Research Library Issues and Actions* presents several approaches to the "journals crisis" that would radically change the system of scholarly communication in this country by "limiting the rights that faculty authors can transfer to publishers" (p. 1).

Research libraries and universities are rightly concerned about the exponential increases in the costs of journals in medicine, science, and technology produced by commercial publishers, but the not-for-profit groups we work for—university presses and scholarly societies in the humanities and social sciences—are not the cause of the financial problems libraries and universities have been experiencing. In fact, the groups we represent have conscientiously limited what they charge for their journals and books, and they have agreed to participate in projects like JSTOR, which the Andrew W. Mellon Foundation has organized to produce electronic archives of scholarly journals. In so doing, the scholarly societies have agreed to contract terms that forgo royalties from the future use of their journals by the patrons of research libraries. This was done to advance experimentation and innovation in electronic dissemination of scholarly journals while minimizing the price tag that would be put on this service.

We therefore urge ARL members to distinguish between the prices not-for-profit publishers in the humanities and social sciences charge for scholarly works and the prices commercial publishers in medicine, science, and technology charge. We also ask that ARL members distinguish between financial pressure that results from commercial pricing practices and financial pressure that we are all—universities, university presses, research libraries, and scholarly societies—experiencing as a result of the digital revolution.

As we have begun to discover, the digital revolution has not yet proved to be the financial panacea that many had hoped. While information technology makes possible marvelous new search and research tools, facilitates interdisciplinary work, and even alters research, it has not led to reduced costs. On the contrary, the digital revolution has added to the expenses that libraries, academic presses, and scholarly societies must bear. Nevertheless, the groups we represent have, to the limit of their resources, moved to take advantage of this new technology in ways that provide important benefits to the scholars and students who use research libraries.

But these and other publication efforts depend on copyright. For over a century, scholarly societies and university presses have made research of high intellectual caliber available in this country. Both scholarly societies and university presses rely on a system of scholarly communication that is of mutual benefit to the scholars who produce the research, the peer reviewers, the scholarly societies, university presses, and libraries. Each of these groups contributes to a system in which the partners operate in good faith—and which, ultimately, benefits the central teaching and research missions of the university itself, as new knowledge informs fundamental university activities, from undergraduate teaching to postdoctoral, sponsored research.

Universities hire scholars and expect that they will produce pathbreaking research. Scholarly societies and university presses provide significant additional value with the opportunity for the publication of this research. Both quality and clarity are improved through the peer review and editorial processes. National and international networks of scholars voluntarily and painstakingly review manuscripts for token, if any, honoraria, and help select the best for publication. Scholarly societies and university presses attend to the administrative chore of selecting editors, editorial boards, and peer reviewers. Whether the research is distributed in print or electronic form, scholarly societies and university presses provide the services necessary to ensure that each publication is reliable, consistent, readable; that it is indexed and searchable; that it is brought to the attention of other scholars in the same field; and that it is made publicly available.

Scholars pay dues to learned societies, and universities provide generous subsidies both to scholarly societies and university presses, subsidies that have helped make the results of scholarly research available to all. But dues, subsidies, and voluntary services have never borne the full cost of scholarly communications—in the past or the present. A significant portion of the costs of scholarly communication must be recovered through sales.

Copyright provides the legal framework for this cost recovery. Copyright is a form of ownership, but,

*Continued*

unlike ownership of real property, copyright recognizes that the true value of information and ideas can only be known if they are widely shared. Copyright makes publication possible by granting the publisher the exclusive right to recover the costs of publishing while also providing fair use and certain limited rights to libraries, archives, and other non-profit educational users. In addition, many scholarly publishers also grant other limited exemptions to this exclusive ownership—giving authors of journal articles the right to make unlimited copies for their own use in teaching, for example. But such exemptions must be carefully limited and well-defined, for they do not reduce publishers' costs. They only reduce the avenues through which those costs may be recovered, and the problem of cost recovery for scholarly publishers in the humanities and social sciences is especially acute. We have suffered from the same cuts in funding that have affected libraries in the last 30 years. If there ever was a time when scholarly publishing carried an extra ounce of fat, it's long gone; all of us now operate with budgets that have been pared to the bone, trying to recover costs in very tight markets.

Proposals for reform in the administration and transfer of copyrights that hamper the ability of scholarly societies and university presses to recover most of the costs of publishing scholarly research will not reduce the economic strain on scholarly communications. At best the proposed reforms will redistribute costs to other members of the scholarly community or force lower standards in the quality of scholarly publishing in the humanities and social sciences. The proposed strategy may further consolidate scholarly publishing in the hands of the largest publishers, who, by virtue of their size and wealth, are best able to absorb changes in market conditions.

Non-profit publishers differ substantially from commercial publishers, and we reject the implication in David Shulenburger's address that not-for-profit publishers unfairly exploit the work of their authors. We would welcome the opportunity to explore this matter in future conversations with colleagues in research libraries and university administration, in the belief that consideration of reform would benefit greatly from a more complete understanding of how the current system of scholarly communication weaves together the interests, talents, and resources of scholars, their societies, university presses, libraries, and universities in a network of mutual benefit that is supported by copyright. For over a century this system has stimulated, produced, and disseminated new knowledge for the public good. We believe that it can continue to do so. If reform is needed, it should be considered apart from the pricing of scientific, medical, and technical journals. Librarians and scholarly publishers should be allies in seeking constructive reforms.

*Phyllis Franklin, Modern Language Association of America*
*Peter Givler, Association of American University Presses*
*John Hammer, National Humanities Alliance*
*Arnita Jones, Organization of American Historians*
*Page Miller, National Coordinating Committee for the Promotion of History*
*Catherine E. Rudder, American Political Science Association*
*Robert B. Townsend, American Historical Association*

*May 7, 1999*

## Big 12 Plus Libraries Consortium *Statement of Endorsement* of the Proposal on the Future of Scholarly Communication by Dr. David E. Shulenburger, Provost, The University of Kansas

In support of your personal leadership and efforts to create a more elastic market for scholarly publications, the Deans/Directors of the Big 12 Plus Libraries Consortium do hereby endorse:

1. Your proposal to create a higher education public domain for scholarly communication, and
2. Your further proposal to move publicly-supported scholarly publications into the higher education public domain.

We further endorse your efforts to pursue federal legislation that would mandate the creation of a higher education public domain, as described in your proposal for a National Electronic Article Repository (NEAR). Pursuant to this proposed legislation, we would like to suggest a meeting which would be hosted by Dr. Neil Lane of the President's Office of Science and Technology Policy and which would be attended by you, the Presidents of the National Association of State Universities and Land Grant Colleges (NASULGC), the Association of American Universities (AAU), the American Council of Learned Societies (ACLS), the directors of the National Institutes for Health (NIH) and the National Science Foundation (NSF).... The purpose of this proposed meeting would be to initiate discussions on the legislative effort to create a higher education public domain, and thus the mechanism by which to provide free exchange of publicly-supported scholarly publications.

*October 23, 1998*

*Julia Blixrud, Director of Information Services*

## SPENDING MORE FOR LESS...

*by Martha Kyrillidou, Senior Program Officer*

The newly released *ARL Statistics 1997-98* shows continuing steady increases in the costs of materials while the amount of materials purchased declines. Research library serial expenditures last year totaled $437 million, an increase of $25 million, or 6%, over the previous year. While median serial expenditures have increased 152% from $1,517,724 in 1986 to $3,818,832 in 1998, serial purchases have actually declined by 7% (about 1,000 less subscriptions per institution) during the course of these 13 years.

In the last four years, despite an annual average increase ranging from 8% to 10% in the serial unit cost, the median ARL library has managed to keep constant the level of serial subscriptions. However, this has had consequences elsewhere in the libraries' collections.

Monographic expenditures last year totaled $207 million, an increase of $5.5 million (2.7%) over the previous year. This part of the materials budget has also increased over the last 13 years, but only by 33% for the typical ARL library from a median $1,120,645 in 1986 to $1,486,764 in 1998. This level of increase was not enough to sustain library buying power when the costs of monographs were also rising. This also reflects a pattern of shifting funds from monographs to serials to meet some of the demands of increasing serial prices. Since 1986, the number of monographs purchased by research libraries fell by 25%, while the unit cost increased by 66%. The median figure of 24,761 monographs purchased in an ARL library in 1998 is a record low level since data on this trend was first presented in this time-series.[1]

Since 1986, the annual average increase for the serial unit cost has been 8.8% and for the monograph unit cost 4.3%, both higher than the Consumer Price Index increase (3.4%) during the same period. See Graph and Table 1 for data on trends in median monograph and serial expenditures, unit costs, and acquisition patterns.

The overall financial picture of research libraries is evident in Graph and Table 2, "Expenditure Trends in ARL Libraries." Apart from the large increases in the serial expenditures and library materials lines, operating expenditures, where many automation and electronic information resource expenditures are reported, are also increasing rapidly, from a median $1,134,008 in 1986 to $2,107,948 in 1998. A slower increase is noted for total salary expenditures, reflecting a combination of slightly increasing salaries and staff reductions. Monograph expenditures, although rising, are not increasing even as fast as general inflation.

TABLE 1

MONOGRAPH AND SERIAL COSTS IN ARL LIBRARIES, 1986–1998

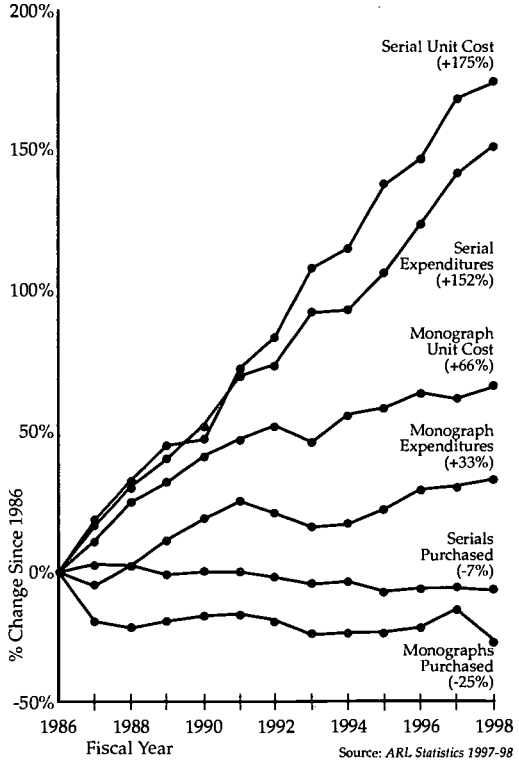
MEDIAN VALUES FOR TIME-SERIES TRENDS

UNADJUSTED DOLLAR FIGURES

| Year | Serial Unit Cost | Serial Expenditures | Monograph Unit Cost | Monograph Expenditures | Serials Purchased | Monographs Purchased |
|---|---|---|---|---|---|---|
| (No. of Libraries) | (43) | (103) | (63) | (99) | (43) | (63) |
| 1986 | $88.81 | $1,517,724 | $28.65 | $1,120,645 | 16,198 | 33,210 |
| 1987 | $104.30 | $1,770,567 | $31.76 | $1,064,484 | 16,518 | 27,214 |
| 1988 | $117.25 | $1,979,604 | $35.63 | $1,141,226 | 16,443 | 26,541 |
| 1989 | $128.47 | $2,130,162 | $37.74 | $1,241,133 | 16,015 | 27,268 |
| 1990 | $130.81 | $2,304,744 | $40.26 | $1,330,747 | 16,182 | 27,999 |
| 1991 | $152.43 | $2,578,309 | $42.04 | $1,400,738 | 16,149 | 28,027 |
| 1992 | $162.72 | $2,630,827 | $43.31 | $1,353,865 | 15,846 | 27,158 |
| 1993 | $184.71 | $2,919,756 | $41.78 | $1,295,807 | 15,463 | 25,583 |
| 1994 | $191.13 | $2,932,091 | $44.51 | $1,309,807 | 15,583 | 25,803 |
| 1995 | $211.29 | $3,133,885 | $45.27 | $1,365,575 | 14,942 | 25,719 |
| 1996 | $219.46 | $3,393,307 | $46.73 | $1,444,015 | 15,069 | 26,262 |
| 1997 | $238.69 | $3,674,368 | $46.42 | $1,460,234 | 15,297 | 28,658 |
| 1998 | $243.85 | $3,818,832 | $47.59 | $1,486,764 | 15,100 | 24,761 |
| Annual average percent change | 8.8% | 8.0% | 4.3% | 2.4% | -0.6% | -2.4% |

GRAPH 1

MONOGRAPH AND SERIAL COSTS IN ARL LIBRARIES, 1986–1998




Source: *ARL Statistics 1997-98*

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Since 1986, total library expenditures increased at the rate of 5.2% a year for the typical ARL library with a median $15.4 million budget in 1998. Of that total budget, salaries accounted for $7.3 million, increasing by 4.9% a year, and library materials allocations accounted for about $5.8 million, with an average annual growth rate of 6.6%. In 1998, serial expenditures accounted for about $3.8 million of the median library materials budget and monographic expenditures for $1.4 million. Since 1986, median serial expenditures has increased by 8% a year and monograph expenditures by 2.4%.

Were these trends to continue 20 years into the future with the same growth rates, serial expenditures would consume close to 90% of the materials budget, and the materials budget would require more than 50% of the total library budget. Currently, the median proportions for serials expenditures out of the materials budget is about 65% and materials expenditures as a proportion of the total expenditures budget is about 38%.

This would, in turn, impact other parts of the libraries' spending. Salary expenditures as a proportion of the total budget would be slightly reduced if the trends continue unaltered, from about 47% to 44% in 20 years or so. Monographs would be the resource depleted fastest, as only about 10% of the materials budget would be spent on purchasing monographs by 2019 if the trends continue. The median library materials budget would be about $25 million, out of which $22 million would be spent on serials and only $2 million spent on monographs.

It is still early to assert a definite answer as to how libraries and their constituencies can influence these trends. However, since reporting on last year's *ARL Statistics*, there is an important new effort underway. Aimed at expanding competition in the largely monopolistic marketplace of scientific journal publishing, the Scholarly Publishing and Academic Resources Coalition (SPARC) was launched by ARL in June 1998. Any results from SPARC and other efforts that are aimed at containing the prices of scholarly materials are not likely to be reflected so soon in the ARL data. The complexity of the problem makes a single or fast reversal of these trends unrealistic. These data therefore are best thought of as a tool for assessing short-term coping strategies and as a stark reminder of the urgent need for system-wide, strategic initiatives.

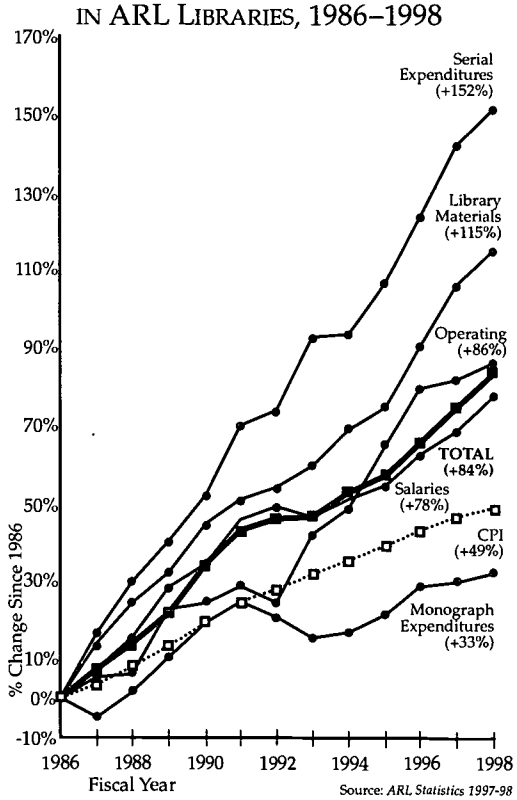
*The printed edition of the* ARL Statistics 1997-98 *is available from ARL Publications <pubs@arl.org> for $70 ($35 for members). Machine-readable datafiles for FTP or for interactive web analysis can be found at <http://www.arl.org/stats/arlstat/>.*

[1] ARL has co-sponsored a conference highlighting the problems facing the specialized scholarly monograph. See <http://www.arl.org/scomm/pub/program.html>.

TABLE 2
EXPENDITURE TRENDS IN ARL LIBRARIES, 1986–1998
MEDIAN VALUES FOR TIME-SERIES TRENDS
UNADJUSTED DOLLAR FIGURES

| Year | Library Materials | Serial Expenditures | Monograph Expenditures | Total Salaries | Operating Expenditures | Total Expenditures |
|---|---|---|---|---|---|---|
| (No. of Libraries) | (106) | (103) | (99) | (106) | (106) | (106) |
| 1986 | $2,707,219 | $1,517,724 | $1,120,645 | $4,108,616 | $1,134,008 | $8,390,865 |
| 1987 | 3,083,288 | 1,770,567 | 1,064,484 | 4,390,277 | 1,191,641 | 9,006,308 |
| 1988 | 3,371,421 | 1,979,604 | 1,141,226 | 4,737,470 | 1,209,633 | 9,623,944 |
| 1989 | 3,582,400 | 2,130,162 | 1,241,133 | 5,278,104 | 1,389,321 | 10,332,186 |
| 1990 | 3,913,466 | 2,304,744 | 1,330,747 | 5,500,869 | 1,408,280 | 11,243,645 |
| 1991 | 4,083,358 | 2,578,309 | 1,400,738 | 5,977,903 | 1,463,873 | 12,032,893 |
| 1992 | 4,160,064 | 2,630,827 | 1,353,865 | 6,113,071 | 1,406,661 | 12,264,226 |
| 1993 | 4,332,769 | 2,919,756 | 1,295,807 | 6,034,232 | 1,609,350 | 12,331,859 |
| 1994 | 4,577,203 | 2,932,091 | 1,309,807 | 6,183,885 | 1,686,070 | 12,775,909 |
| 1995 | 4,729,921 | 3,133,885 | 1,365,575 | 6,349,708 | 1,871,603 | 13,204,133 |
| 1996 | 5,157,375 | 3,393,307 | 1,444,015 | 6,675,390 | 2,035,496 | 13,885,477 |
| 1997 | 5,577,348 | 3,674,368 | 1,460,234 | 6,922,290 | 2,058,496 | 14,652,763 |
| 1998 | 5,817,324 | 3,818,832 | 1,486,764 | 7,300,236 | 2,107,948 | 15,410,758 |
| Annual average percent change | 6.6% | 8.0% | 2.4% | 4.9% | 5.3% | 5.2% |

GRAPH 2
EXPENDITURE TRENDS
IN ARL LIBRARIES, 1986–1998




Source: *ARL Statistics 1997-98*



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*Kathryn J. Deiss, OLMS Program Manager*

# HOT GROUPS: A LIVING SOURCE OF ORGANIZATIONAL AGILITY

The quest for organizational agility in libraries has taken on a powerful sense of urgency and importance. The feeling, if not the reality, of rapid changes in the internal and external environments of higher education and the need to respond to those changes have induced this focus on agility. Yet many libraries feel that agility is as far out of their institutional reach as dancing would be for a hippopotamus. Nevertheless, research libraries have sought strategies to create organizational agility. Examples of these are shortened timelines for strategic plans, cross-organizational work projects and processes, new communication patterns and technologies, and new organizational structures. While these strategies may be steps towards increased agility, they often seem to be incomplete in answer to the quest.

## Hot Groups: A Hidden Source of Agility

While agility might be something most libraries need to learn and develop as a way of meeting challenges, I would like to suggest that one source of agility already exists in most libraries and that it needs only to be recognized and encouraged. That source is what is known as a *hot group*, a term coined by Harold Leavitt and Jean Lipman-Blumen, organizational development experts, in their 1995 *Harvard Business Review* article, "Hot Groups."[1] In their newly released book of the same title, Lipman-Blumen and Leavitt go into greater depth on the special nature of hot groups: "A hot group is a state of mind. It's not a name for some new kind of team or task force or committee. The hot group state of mind is task-obsessed and full of passion. It is always coupled with a distinctive way of behaving, a style that is intense, sharply focused, and full-bore."[2] Thus the authors describe at the outset of their book the basic idea behind the term *hot group*.

We need only reflect on our own individual experiences to identify at least one instance where we were part of a group that was "clicking"—that was focused and impassioned about its task or work, that seemed to exist in a world of its own—to realize that hot groups are a fact of organizational life. We just didn't have a name for this phenomenon until now, and we certainly have not learned to exploit the possibility of hot groups in our heightened need for agility. In part, this is because of the curious and seemingly serendipitous nature of hot groups: we never know, nor can we control, when they are going to spring to life.

## Examples of Hot Groups in Libraries

In a December 1995 article, Katherine Haskins and I described the experience of a group of people at the University of Chicago Library brought together by the urgent and overwhelming task of designing effective means to train all staff and users in a new integrated system.[3] The turnaround time at the University of Chicago was very short and so a group of 24 people selected to train the others how to use the new system was put together and received special training provided by the ARL/OLMS's *Training Skills Institute for Implementing an Integrated Library System.* In our article, we describe that group of trainers as a "hot group" because, in spite of the fact that these individuals came from all levels and areas of the library, the task before them drew them into a tightly knit, high-performing unit within days. Although the University of Chicago was a particularly vivid example of this phenomenon, these groups exist in many libraries and I believe them to be one of the most viable and energetic responses to the organizational need for agility.

More recently, the Instructional Support Services group at the Southern Illinois University-Carbondale library helped the OLMS develop its inaugural distance learning program, the Online Lyceum.[4] This group of nine people—five from SIU and four ARL staff—had the unique and driven focus of a hot group. Although the full group worked remotely—with members in Carbondale, Washington, D.C., Evanston, and San Diego—the group still had the mark of a hot group: organized loosely by two driven leaders, it brought unique and differing talents together to accomplish work, innovated, engaged in continuous creative problem-solving, and did all this on an exceedingly tight deadline. Further, the group accomplished this without the more common trappings of an organizational structure, such as reporting to others, being limited by bureaucratic policies and procedures, etc. The group worked to produce one of the most innovative ARL products to date.

In many libraries, groups coalesce around both small and large projects. However, not all teams, committees, and working groups become hot groups. In fact, Lipman-Blumen and Leavitt suggest that standard types of organizational groups—such as departments, teams, and committees—rarely become hot groups. Nonetheless, it is clear that, if the conditions are right, any group can become "hot."

## What Makes Hot Groups Different?

What makes hot groups different from other competent and task-oriented groups in the library? Lipman-Blumen and Leavitt describe some characteristics of the hot groups they used as examples of this phenomenon:

- Each group felt itself engaged in an important—even vital—and personally ennobling mission.
- In each, the task itself dominated all other considerations. The process was simultaneously arduous and intoxicating. Contrary to some fundamental tenets of

*Continued*

organization development theory, interpersonal relationships played only secondary roles.
- All the groups were relatively short-lived (hot groups tend to organize around finite tasks or objectives), yet their participants remember the involvement nostalgically and in considerable detail.[5]

Interestingly, the hot group concept dovetails nicely with work done on creativity and innovation by Robert Grudin, professor emeritus of the University of Oregon.[6] Grudin's research shows that true innovation and creativity result not only from inspiration but also require an individual or individuals to have deep expertise and knowledge in the area within which they are working. Grudin refers to individuals and groups that are discoverers of the "new" as being *habitually attuned* to a specific realm and having mastery over their own methods. Individuals or groups are more likely to be playful with a subject about which they feel little anxiety. Their expertise allows them to depart more easily from the known, spot disconfirming information and oddities, and to discover new ways of doing things. There is every reason to believe that hot groups, then, will be creative and resourceful in ways that are not reproducible.

It is precisely this irreproducibility of performance that makes hot groups so intriguing—each one is sui generis. This may test the patience of some administrators and leaders who prefer more control over how and when high performance occurs. However, to take full advantage of the hot group, leaders will need to develop ways to encourage this unique type of group to form and to manage itself in its own way.

## Managing the Hot Group

To be sure, there may be specific problems that arise when hot groups are in existence: jealousy or rivalry on the part of others outside the group; hot group obsession to the point of diminishing returns; and difficulties in managing individuals from different areas of the library when they are in a hot group. Hot groups engage in play and antics as well as often develop their own private lingo and communication style. They often appear to others in the organization as oblivious and even uncaring as they relentlessly pursue something in a manner that is opaque to "outsiders." In their book, Lipman-Blumen and Leavitt more fully describe some of the pitfalls and some of the possible ways of dealing with these pitfalls.

While there is no question that hot groups can be tricky to contain, it is clear from Lipman-Blumen and Leavitt's research that tolerating and even encouraging this state of mind is worthwhile because hot groups represent potential innovation, forward motion, productivity, and energy. While it is important to make accountability to the larger organization clear to hot groups, group members are likely to be very aware of the potential impact of their work while simultaneously having little regard for the bureaucratic rules that may stand in the way of how they manage their work.

Grudin believes that the political and diplomatic problems that often surround or tamp down creativity or innovation result from fear of threat to stability. Because there is power in creativity, the threat to organizational stability that "power newborn"[7] represents is often enough to squelch the group's project or product. For this reason, members of the organization need to be educated to understand different types of power and sources of innovation. To foster the growth of hot groups, organizational leaders must "Make room for spontaneity; encourage intellectual intensity, integrity, and exchange; value truth and the speaking of it; help break down barriers; select talented people and respect their self-motivation and ability; and use information technology to help build relationships, not just manage information."[8] Further, to take full advantage of the extraordinary agility that these groups can lend an organization, leaders need to be alert to the possibility of a hot group coalescing around a problem or task and then remove themselves and any bureaucratic impediments out of the group's way. If it seems that hot groups contribute to organizational turbulence, maybe we should consider that perhaps the best answer to volatility in our environment is fluidity and action-orientation in the way we work. We have much to learn from the way hot groups attack work, problem-solve, innovate, and think together.

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The ARL/OLMS will offer its Edgework Institute: Stimulating Innovation in Libraries and Information Services in Washington, D.C., November 10–12. As part of that Institute, participants will explore the concept of hot groups as well as learn more about the politics and diplomacy of innovation.

[1] Jean Lipman-Blumen, and Harold J. Leavitt, "Hot Groups," *Harvard Business Review* 73.4 (July 1995): 109.

[2] Jean Lipman-Blumen, and Harold J. Leavitt, *Hot Groups: Seeding Them, Feeding Them, and Using Them to Ignite Your Organization* (New York: Oxford University Press, 1999).

[3] Kathryn J. Deiss, and Katherine Haskins, "Training Technology Trainers: Training at the University of Chicago Library," *ARL: A Bimonthly Newsletter of Research Library Issues and Actions* 183 (Dec. 1995): 10-11. Also available at <http://www.arl.org/newsltr/183toc.html>.

[4] See <http://www.arl.org/training/lyceum.html>.

[5] Lipman-Blumen and Leavitt, *Hot Groups*.

[6] Robert Grudin, *The Grace of Great Things: Creativity and Innovation* (New York: Ticknor & Fields, 1990).

[7] Ibid.

[8] Lipman-Blumen and Leavitt, "Hot Groups," *Harvard Business Review*.
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*Lee Anne George, Program Planning Officer*

PHOTO COURTESY OF GERALD CRABTREE

*Carol Henderson (left) accepts award from ARL President Betty Bengtson, University of Washington*

## CAROL HENDERSON HONORED BY ARL

At the 134th Membership Meeting held in Kansas City, ARL honored Carol Henderson with a standing ovation and certificate for "her significant contributions and unwavering commitment to libraries throughout the United States." Ms. Henderson, Executive Director of the American Library Association's (ALA) Washington Office and an Associate Executive Director of ALA, will retire on August 13 after nearly 24 years of service.

In presenting her with the award, ARL President Betty Bengtson, University of Washington Libraries, cited Ms. Henderson's distinguished career and exceptional contributions. "She has encouraged collaboration within the library community, championed new and innovative approaches to difficult and contentious issues, provided wise and strategic counsel on a host of issues, and garnered the deep respect of Members of Congress and officials of countless Administrations.

"During her years in the American Library Association Washington Office, Carol Henderson served in the pivotal role of librarian-advocate on a wide range of issues and arenas, including copyright and intellectual property, access to government information, appropriations for numerous agencies and national libraries, telecommunications and networking, and more. Her remarkable ability to articulate to policymakers an ambitious, compelling, and evolving role for libraries has had a tremendous influence on federal policies affecting libraries and the people these libraries serve. As an advocate for the public interest, she personifies the very best."

Ms. Henderson became ALA's Washington Office Executive Director in 1994. Until then, she was the ALA Washington Office Deputy Director for 15 years. During all these years, she was a key partner with ARL in helping to strengthen the message of research libraries to Congress and other agencies of the U.S. Government.

## ARL EXPLORES SPECIAL COLLECTIONS IN THE DIGITAL AGE

ARL's 134th Membership Meeting, hosted by the Linda Hall Library and the University of Kansas Library, was held May 12–14 in Kansas City, Missouri and Lawrence, Kansas. One hundred and eight ARL member libraries were represented at the meeting. ARL President Betty Bengtson, University of Washington, convened the meeting. The program was planned in collaboration with the ARL Research Collections Committee and brought together directors of libraries with representative directors of special collections departments and faculty to focus on the array of challenges and opportunities special collections present.

Werner Gundersheimer, director of the Folger Shakespeare Library, opened the meeting with a keynote address on the special problems of special collections. Joe A. Hewitt, University of North Carolina and chair of the ARL Research Collections Committee, then presented preliminary findings from the 1998 survey on the status of special collections in ARL libraries. (Complete findings of the survey will be published by ARL later this year.) Through a series of panels and focused discussion groups, speakers and audience explored the special collections culture, selection criteria for digital preservation, developing collections to meet scholars' needs, and a variety of management issues. In addition, status reports were provided on JSTOR, the National Learning Infrastructure Initiative, the disaster recovery efforts at Colorado State University, efforts to define new measures for describing research libraries, Internet2 content projects, and recommendations for revising the ARL membership process and criteria.

Papers presented at the May meeting will be made available on the ARL web server as they are received: <http://www.arl.org/arl/proceedings/134/index.html>.

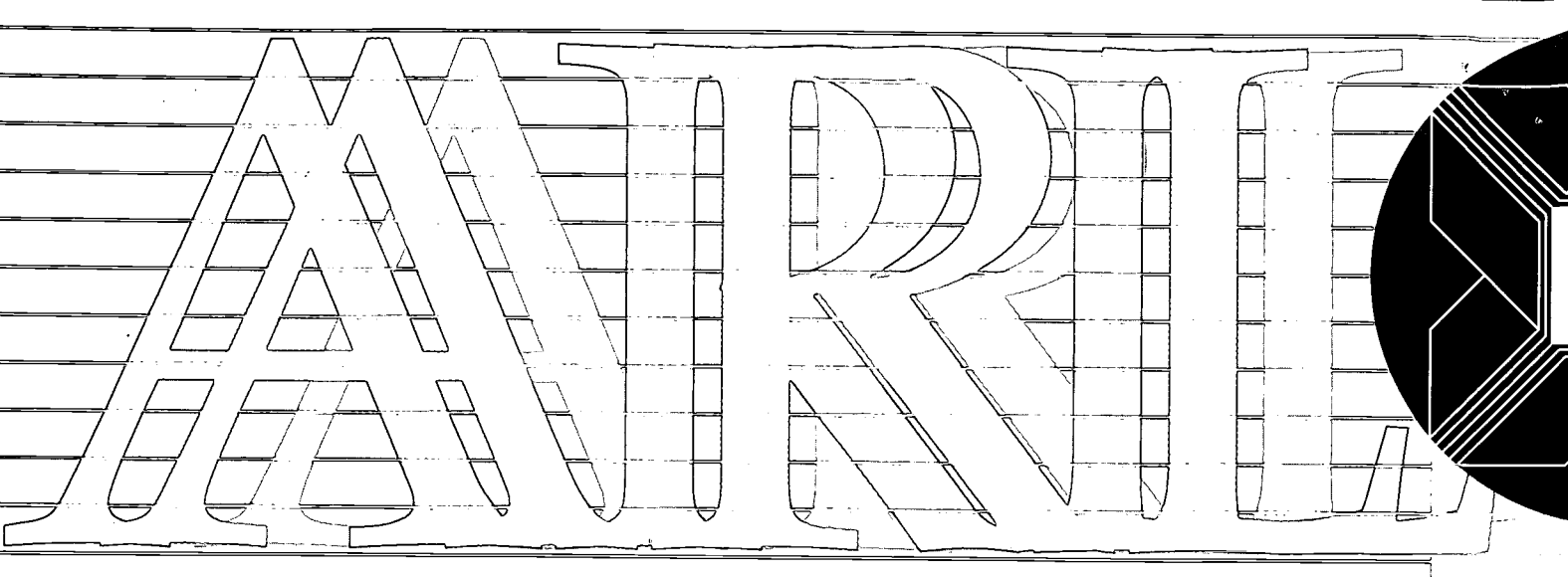
## TRANSITIONS

**Illinois at Urbana-Champaign:** Paula Kaufman was named to succeed Robert Wedgeworth as University Librarian, effective September 7, 1999. Ms. Kaufman is currently Dean of Libraries at the University of Tennessee.

**Ohio:** Julia Zimmerman, Associate Director of Georgia Tech Library, was named Dean of University Libraries at Ohio University. Current library dean Hwa-Wei Lee will retire in August.

## HONORS

**Ann Okerson**, Associate University Librarian, Yale University, and former Director of ARL's Office of Scientific and Academic Publishing, is the winner of the 1999 LITA/Library Hi Tech Award. She was selected for her efforts to discern, influence, and elucidate the impact of electronic publishing on libraries.



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**Executive Director:** Duane E. Webster
**Editor:** G. Jaia Barrett, Deputy Executive Director
**Assistant Editor:** Karen A. Wetzel
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# CALENDAR 1999

| | |
|---|---|
| **July 26–27** | **ARL Board Meeting**<br>***Washington, DC*** |
| September 16–17 | License Review and Negotiation: Building a Team-Based Institutional Process<br>*Dallas, TX* |
| October 7–8 | Leading Change Institute<br>*San Antonio, TX* |
| **October 12–14** | **ARL Board and Membership Meeting**<br>***Washington, DC*** |
| October 26–29 | EDUCAUSE '99<br>*Long Beach, CA* |
| October 26–29 | Library Management Skills Institute II: The Management Process<br>*Evanston, IL* |
| November 3–5 | Assistant/Associate Librarian Institute<br>*Charleston, SC* |
| November 10–12 | Edgework Institute: Stimulating Innovation in Libraries and Information Services<br>*Washington, DC* |
| November 17–19 | Library Management Skills Institute I: The Manager<br>*Atlanta, GA* |
| December 13–14 | CNI Fall Task Force Meeting<br>*Phoenix, AZ* |

## SAVE THE DATE FOR SPARC!

SPARC's first membership meeting, "Opportunities for Scholarly Communications: Crafting New Models," will take place on October 14 and 15, 1999 in Washington, D.C. See <http://www.arl.org/sparc/99mtg.html>.



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# MEASURING THE COST EFFECTIVENESS OF JOURNALS: THE WISCONSIN EXPERIENCE

The University of Wisconsin was thrust into the limelight of journal cost studies when Henry Barschall, Professor of Physics there, published articles on the cost effectiveness of physics titles that resulted in a series of lawsuits by Gordon and Breach, a commercial publisher whose titles were among the least cost-effective journals cited by Barschall. On top of the lawsuits, Gordon and Breach undertook an aggressive strategy—including threats of additional litigation—to challenge any adverse commentary on its journals. The actual and threatened lawsuits by Gordon and Breach are well documented.[1]

Believing that this hostile, litigious environment had a chilling effect on libraries' willingness to gather and share journal cost data, and wishing to commemorate the 10th anniversary of Barschall's publications, the University of Wisconsin–Madison Libraries undertook a cost study in the hopes of encouraging others to conduct similar analyses. Using the same methodology, the findings of this new study parallel those of Barschall:

> *By the measures employed here, commercially published journals in all three fields [physics, economics, neuroscience] are significantly less cost-effective than journals published by not-for-profit enterprises.*

The cost effectiveness data collected as part of the Barschall anniversary study were measured in cost per 1,000 characters and cost per impact factor. These statistics supplement the cost per use data that the Libraries had been collecting for the previous five years. University of Wisconsin–Madison Libraries staff have found both data sets critical in establishing effective working relationships with the faculty; they provide library staff with an objective information base from which to begin discussions about journal cancellations.

The difficulty of collecting data about journals—whether it is cost per use, cost per 1,000 characters, or cost per impact factor—may be yet another reason why libraries do not routinely gather and share information on journal cost effectiveness. The process is time-consuming and the vagaries of serial publications make the task complex. In some cases, selectors and faculty fear that data will become the single factor in deciding whether to cancel journal subscriptions. But for many institutions that have embarked on journal cost studies, the rewards far outweigh the problems. The data provide an overall context for assessing the quality, relevance, and cost effectiveness of the journals in a given field. They also highlight titles that may warrant further evaluation. The data allow selectors and faculty to discuss specific titles with a broader understanding of the quality and economic structures of the journals in a discipline.

Data on the cost effectiveness of journals are also useful in our efforts to inform policymakers in higher education; national, state, and provincial legislatures; funding agencies; and scholarly societies about the dynamics of the current journals system and the need for transformation. Data help us develop and refine strategies for change. But currently, our community lacks consistent, longitudinal journal cost effectiveness data across disciplines. We depend on the occasional reports of studies, like the one presented here, of a few

key fields. To help maximize the use of existing data and facilitate the collection of more detailed information, ARL is working with the Association of American Universities on a proposal to establish a coordinated data collection effort. The creation of a central repository of data on journals—prices, number of pages, number of articles, number of citations, etc.—would provide valuable information that could be used for a variety of purposes, including policy-level discussions, local collections decisions, and increased research into the economics of scholarly publishing. Both organizations also see such a resource as a strategy to measure the impact of electronic information resources and new modes of distributing information, such as E-biosci (see page seven for "NIH Proposes E-biosci"), on the economics of the system.

While this discussion and the following article extol the virtues of data gathering, it is important to restate the obvious: data are only part of the story. All of the libraries that collect such data would agree that collections decisions are based on many factors in addition to data, such as the research needs of individual faculty; support for small, fledgling, or struggling programs; consortial obligations; and commitments to programs that seek to sustain comprehensive collections through distributed responsibilities. Data must be evaluated in context; judgment is always the final arbiter.

The following article is an excerpt from a work prepared for the University of Wisconsin–Madison Libraries by George Soete, ARL/OLMS, and Athena Salaba, University of Wisconsin–Madison School of Library and Information Studies. In the longer work, Soete places the Wisconsin studies in the broader library-community context, while Salaba discusses the methodology used in the 1998 study and provides detailed tables of the titles and data collected. The complete work can be found at <http://www.library.wisc.edu/projects/glsdo/cost.html> and will be printed for distribution by ARL later this year.

*—Mary M. Case, Director, ARL Office of Scholarly Communication*

## The Barschall Legacy

In December 1986, Henry Barschall, University of Wisconsin–Madison Physics Professor and Departmental Representative to the Libraries' faculty committee, published a brief article in *Physics Today*[2] in which he looked at the costs of a small sample of physics journals (20 titles), as well as an even smaller number of philosophy and mathematics journals. Barschall compared the cost per 1,000 characters across journals—a methodology previously used by the American Mathematical Society and others. His conclusion:

> *While one would expect journals published by not-for-profit publishers to be less expensive than those published by commercial publishers, the cost-per-character ratio of over 40 between the most expensive commercial and the least expensive not-for-profit publication is larger than one might have expected. We found the variation to be similar for mathematics and physics journals. An unexpected finding was that the average cost per character is about the same for physics and philosophy journals; subscription prices for philosophy journals are less expensive because they typically publish far fewer pages, of generally smaller size.*[3]

Two years later, Barschall conducted another study using a much larger sample of over 200 physics journals. The results of the 1988 study confirmed the results of the earlier study and were published in both *Physics Today* (July 1988)[4] and the *Bulletin of the American Physical Society* (July–Aug. 1988),[5] with the former presenting the conclusions and the latter the methodology and data.

In this second study, in addition to expanding the sample, Barschall added the Institute for Scientific Information (ISI) impact factor to his analysis. The ISI impact factor is a measure of the frequency with which the average article in a journal has been cited in a particular year.[6] Barschall's tabular data show cost per 1,000 characters, impact factor (for the titles for which it was available), and cost per impact factor. The data, therefore, indicate cost effectiveness in two ways: cost per quantity of content and cost as related to value apparently placed on the publication by others in the field.

Barschall drew some important conclusions from this study. He found, for example, that the cost per 1,000 characters did not vary greatly for journals published by the same publisher. More importantly, Barschall concluded that "all the publishers whose journals have low average costs per character or low ratios of cost to impact are scientific societies or associations, while the publishers whose journals have high costs per character or high ratios of cost to impact are commercial firms."[7] This conclusion agrees with his findings from the previous study. One further conclusion has been borne out in subsequent studies: the need to perform comparisons, as much as possible, within comparable sets of journals. Within his sample, Barschall found real differences in impact numbers among journals publishing review articles, letter journals, and archival journals.

In both studies, Barschall was careful to note the factors that might be influencing the differences that he found—from production and distribution costs to page charges. He also acknowledged the imprecision of his methods of counting characters by asserting that "differences in cost of 20% are not significant for several

reasons: journals follow different practices in numbering pages, in having blank or partially blank pages, in the size of the print used in tables and references."[8] With all of these caveats, however, the data still told Barschall that there was a wide discrepancy in cost effectiveness between not-for-profit and commercially published journals.

Barschall's studies would have become part of the growing literature on journal cost effectiveness—useful but perhaps unremarkable outside the world of journal collections management—were it not for the fact that Barschall's publishers, the American Institute of Physics (AIP) and the American Physical Society (APS), decided to use his findings to promote their journals. Gordon and Breach, a publisher whose journal titles had not come off well in Barschall's comparisons, seized on this and sued the AIP and APS. Gordon and Breach contended, in suits instituted in the U.S., German, Swiss, and French courts, that Barschall's studies were flawed, even biased, representing "illegal comparative advertising" of the not-for-profit journals published by the American Physical Society and other members of the American Institute of Physics. In August 1997, a U.S. District court found in favor of AIP/APS, asserting:

> *Barschall's methodology has been demonstrated to establish reliably precisely the proposition for which defendants cited it—that defendants' physics journals, as measured by cost per character and by cost per character divided by impact factor, are substantially more cost-effective than those published by plaintiffs. Plaintiffs have proved only the unremarkable proposition that a librarian would be ill-advised to rely on Barschall's study to the exclusion of all other considerations in making purchasing decisions.*[9]

And though the German and Swiss courts also ruled in favor of AIP/APS, the French courts, under strict French comparative advertising laws, found in favor of Gordon and Breach. All rulings were appealed. The German, Swiss, and U.S. courts have recently rejected appeals by Gordon and Breach. An appeal in France is still pending.

Henry Barschall died in February 1997, six months before the U.S. District court vindicated his work.

The Barschall legacy is substantial. His studies thrust journal cost issues into the spotlight and spurred libraries and library associations to concerted action. The studies also showed that a relatively inexpensive methodology could produce data of enormous power. The lawsuits motivated by these studies, however, and the repeated threats by Gordon and Breach against others daring to criticize its titles may have had two differing impacts. On the one hand, some librarians may feel liberated by the recent court rulings to conduct and publish comparative cost studies of research journals. On the other hand, it is likely that the behavior of Gordon and Breach had a chilling effect on systematic data gathering and cost analysis of journals during the ten-year interval since Barschall published his pioneering studies. This is unfortunate because, given the pressure on libraries and research institutions to optimize the benefits of resources and control costs, "consumer comparisons" of journal value, performance, and impact are sorely needed to inform decision making.

## 1998 Follow-Up to Barschall's 1988 Study

In 1998, the University of Wisconsin–Madison Libraries commemorated the 10th anniversary of Barschall's landmark 1988 study by conducting a follow-up study using essentially the same methodology—that is, focusing on cost per 1,000 characters and the cost per impact ratio that Barschall found such a persuasive measure of journal cost effectiveness. This time, in addition to physics journals (N = 93), journals in economics (N = 128) and neuroscience (N = 72) were studied as well. From April through August of 1998, Athena Salaba of the University of Wisconsin–Madison School of Library and Information Studies gathered the data for titles published in 1997.

The results of the 1998 study confirm Barschall's findings, although there are some differences in the details, as one might expect after ten years. Following are the key findings of the study. (See also accompanying table.)

- In physics, cost per 1,000 characters varied in the 1998 study from 0.76 cents to 27.33 cents, that is, by a factor of about 36. In 1988, Barschall found that these costs for his sample varied between 0.39 cents and 31.00 cents, that is by a factor of about 80.
- Also in physics, the cost/impact ratio in the 1998 study varied from 0.20 to 182.00 cents, that is, by a factor of about 910. In 1988, Barschall found that these ratios varied from 0.063 to 54.00, that is, by a factor of about 850.
- Of the three fields, physics had the lowest average cost per 1,000 characters (9.84 cents) in the 1998 study, 8% lower than the average for economics (10.60 cents) and 40% lower than the average for neuroscience (13.83 cents). Lower costs per 1,000 characters suggest greater cost effectiveness.
- Neuroscience, on the other hand, had the lowest average cost/impact ratio (7.69), 49% lower than the average for physics (11.45) and 287% lower than the average for economics (29.76). Lower cost/impact ratios suggest greater cost effectiveness.
- The last two findings suggest that assumptions about the low cost effectiveness of STM (science,

technology, and medical) journals in relation to journals in the social sciences and humanities need to be tested carefully against the data.

- By the measures employed here, commercially published journals in all three fields are significantly less cost-effective than journals published by not-for-profit enterprises.
- The measure that Barschall found most persuasive as an indicator of cost effectiveness was the cost/impact ratio. Lower cost/impact ratios mean greater cost effectiveness. In physics, the average cost/impact ratio for commercial journals (14.61) is 1.77 times higher than the average ratio for nonprofit journals (8.23). In economics, the average for commercial journals (42.62) is about four times that for nonprofit journals (11.55). In neuroscience, the average for commercial journals (8.69) is 13.63 times that for nonprofit journals (0.64).
- Also confirmed was Barschall's finding concerning U.S. and foreign publishers of physics journals. By the measures employed here, physics journals published abroad, on average, are significantly less cost-effective than those published in the U.S.
- One finding of the 1998 study was that differences between commercial and not-for-profit journals were less dramatic in physics than in either neuroscience or economics (see the magnitude of difference figures in the accompanying table).

For the three fields covered, these cost effectiveness data complement and extend the local cost per use data that Wisconsin has been collecting for the past five years. Together the data sets provide a strong, objective base from which to initiate discussions with faculty and inform judgments on journal cancellations.

## Journal Cost Per Use Data

The University of Wisconsin–Madison Libraries received no new state funding for collections between 1989/91 and 1997/99, and 6,000 journal subscriptions were cancelled throughout the Libraries during that time. As with many libraries, cancellations have become virtually an annual ritual. In this climate of chronic reduction, the University began gathering journal use data on a library-wide basis and, for the last five years, produced cost per use statistical tables.[10]

While cost per use figures have never been the sole basis for journal cancellations, these data have been extraordinarily helpful in identifying potential

### COST EFFECTIVENESS OF SELECTED JOURNALS IN PHYSICS, ECONOMICS, AND NEUROSCIENCE PUBLISHED IN 1997

| | AVERAGE | | | | MEDIAN | | | |
|---|---|---|---|---|---|---|---|---|
| | Subscription Price (US $) | Cost per 1,000 Characters (cents) | Impact Factor | Cost/ Impact Ratio (cents) | Subscription Price (US $) | Cost per 1,000 Characters (cents) | Impact Factor | Cost/ Impact Ratio (cents) |
| **A. Physics Journals** | | | | | | | | |
| Commercial (N=47) | $2,539.83 | 13.83 | 2.13 | 14.61 | $1,948.00 | 13.78 | 1.50 | 9.80 |
| Nonprofit (N=46) | $1,260.52 | 5.76 | 2.33 | 8.23 | $1,011.00 | 3.29 | 1.83 | 2.50 |
| Magnitude of Difference | 2.01 | 2.40 | 0.92 | 1.77 | 1.93 | 4.19 | 0.82 | 3.92 |
| All Titles (N=93) | $1,907.05 | 9.84 | 2.23 | 11.45 | $1,296.00 | 8.30 | 1.56 | 5.96 |
| **B. Economics Journals** | | | | | | | | |
| Commercial (N=75) | $451.31 | 15.32 | 0.64 | 42.62 | $ 355.00 | 14.30 | 0.49 | 27.03 |
| Nonprofit (N=53) | $97.17 | 3.91 | 0.96 | 11.55 | $90.00 | 3.41 | 0.59 | 5.35 |
| Magnitude of Difference | 4.64 | 3.91 | 0.67 | 3.69 | 3.94 | 4.19 | 0.83 | 5.05 |
| All Titles (N=128) | $304.68 | 10.60 | 0.77 | 29.76 | $174.50 | 7.62 | 0.56 | 14.46 |
| **C. Neuroscience Journals** | | | | | | | | |
| Commercial (N=63) | $1,534.99 | 15.47 | 3.77 | 8.69 | $838.00 | 15.54 | 2.20 | 6.92 |
| Nonprofit (N=9) | $431.11 | 2.38 | 4.49 | 0.64 | $332.00 | 1.91 | 4.30 | 0.33 |
| Magnitude of Difference | 3.56 | 6.50 | 0.84 | 13.63 | 2.52 | 8.12 | 0.51 | 20.75 |
| All Titles (N=72) | $1,397.00 | 13.83 | 3.86 | 7.69 | $756.50 | 14.01 | 2.47 | 5.57 |

University of Wisconsin–Madison Libraries, 1998

cancellations for discussion with faculty. Such is their utility that they have been mounted on the Libraries' website and are freely available both on- and off-campus. In fact, what have become known as "the Wisconsin data" are used frequently by other libraries as they seek to open their own cancellation discussions with faculty.

Though a routine part of operations now, the cost per use tables did not have an easy birth. On the technical side, there were many challenges, not the least of which was making sure that every journal—every issue and every bound volume—was barcoded and use-counts were properly aligned with variable receipt and payment records. On the human relations side, there was the challenge of allaying fears on the part of both faculty and library staff that the data would be used in mechanistic ways to force cancellations. After years of use, stakeholders today wonder how they could have survived the last five years without the data.

*...the high-cost journals cut from the collection were so rarely used and marginally significant in their impact that they are neither missed nor mourned by library users.*

Tom Murray, Director of the Wendt Library (Engineering), describes the basic data-gathering method:

- all journal issues and volumes are barcoded;
- as items are reshelved after use, counts are made by scanning the barcodes, with either a portable or stationary scanner;
- signs—"lots of signs!"—request that users not reshelve journals and explain the use-study rationale; and
- journals are picked up frequently throughout the day to accommodate heavy use.

For Murray and Collections Officer Lou Pitschmann, the cost per use data have helped them avoid the huge crises weathered by other libraries. First, they say, there is the power of the data themselves. But beyond that, faculty see that the Libraries are using the best data available, consulting closely with them, and making decisions that simply make sense. Wisely, the Libraries have not instituted specific cutoff points. If there is one, it is the cutoff point of common sense. They ask, Does it make sense for us to continue paying this high price to own a paper copy of this low-use journal, especially when alternative means of access are far less expensive?

In fact, the provision of alternatives to faculty—speedy document delivery and electronic versions of journals—has been of critical importance in the Libraries' success. Thus, often the trade-offs are discussed in these terms: "Suppose we were able to provide you an electronic copy of any article from this journal, delivered to your desk, at no cost. Would that be an acceptable alternative to our holding the print journal?"

Though getting started can be quite expensive and labor-intensive, says Pitschmann, the results of the initial expense have been well worth it.

## Next Steps

For the University of Wisconsin–Madison Libraries, according to Director Ken Frazier, there is no going back to the old ways of evaluating journals. The journal cost effectiveness studies are part of a larger cultural change taking place within the University. These changes are evident in the most recent annual report of the University Library Committee.[11] Ten years ago, the faculty would have been likely to demand that the Libraries buy all "their" journals, no matter what the cost. Today, faculty are not only supportive of the journal cost studies, they are taking a leadership role within their disciplines to demand changes in the scholarly communication system.

While librarians and faculty agree that cost alone should not be the sole means of assessing the value of journals, the accumulating data are compelling. The measurable differences between journals in cost and usage are huge. High-cost journals are not simply more expensive, they are ten, twenty, sometimes thirty times more costly than the most cost-effective publications. The studies also confirm (as Henry Barschall rightly observed) that the publications of professional societies are a relative bargain. Indeed, the Wisconsin data show conclusively that nonprofit publishers are continuing to produce high-quality journals in both print and electronic formats at prices that are cost-effective for research libraries.

Another consequence of the cost studies for Wisconsin is that the journal subscriptions cancelled during the 1990s will not be reinstated, regardless of the future budget situation of the University of Wisconsin–Madison Libraries. Frazier notes that there are simply too many new information products that

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are potentially useful and reasonably priced for librarians to spend much time looking back. The Libraries' experience since the cancellations has generally confirmed that the indicators of the cost and use studies were accurate. That is, the high-cost journals cut from the collection were so rarely used and marginally significant in their impact that they are neither missed nor mourned by library users.

During the 1999–2000 academic year, the University of Wisconsin–Madison Libraries will conduct three additional journal cost effectiveness studies in chemistry, engineering, and another social science discipline, probably education or psychology. The concentration of high-use electronic journals in these disciplines is expected to provide the Libraries with their first systematic assessment of the impact of digital publishing on the cost effectiveness of journals. The challenge will be to integrate Barschall's methodology for measuring the cost effectiveness of print journals with new measures of usage for electronic information resources.

The cost effectiveness studies will be an enduring legacy of Henry Barschall. The University of Wisconsin–Madison Libraries are working with the University of Wisconsin Foundation to establish an endowment account that will support the ongoing work of "Barschall Fellows" in cooperation with the School of Library and Information Studies. Professor Barschall would have been pleased by this commitment, but, considering the tenacity with which he investigated the cost effectiveness of journal literature, he probably would have expected no less.

[1] See Ann L. O'Neill, "The Gordon & Breach Litigation: A Chronology and Summary," *Library Resources and Technical Services* 37, no.2 (Apr. 1993): 127–33; and Leonard B. Sand, U.S. District Court, Southern District of New York, Opinion of August 26, 1997, 93 Civ. 6656 (LBS), 10-16.

[2] Henry H. Barschall, "The Cost of Physics Journals," *Physics Today* 39, no. 12 (Dec. 1986): 34-36.

[3] Ibid., 35.

[4] Henry H. Barschall, "The Cost-Effectiveness of Physics Journals," *Physics Today* 41, no. 7 (July 1988): 56-59.

[5] Henry H. Barschall and J. R. Arrington, "Cost of Physics Journals: A Survey," *Bulletin of the American Physical Society* 33, no. 7 (July-Aug. 1988): 1437-1447.

[6] The Institute for Scientific Information reports impact factors annually in its *Journal Citation Reports*.

[7] Barschall, "Cost-Effectiveness of Physics Journals," 57.

[8] Barschall and Arrington, 1437.

[9] Sand, 32.

[10] These cost per use data can be accessed at: <http://www.wisc.edu/wendt/journals/costben.html>.

[11] This report can be found at: <http://www.library.wisc.edu/libraries/News/ULC/reports/98_99.pdf>.

## THE CORNELL JOURNAL PRICE STUDY

Late last year, Cornell University issued a journal pricing report on the disciplines of agriculture and biology.[1] Faculty in the College of Agriculture and Life Sciences, and the Division of Biological Sciences, concerned about the ongoing need for journals cancellations, created an ad hoc task force to gain a better perspective on the underlying problem. A total of 312 core titles in agriculture and biology were identified and standard data were gathered on each title for the years 1988 and 1994. Interestingly, for the biology journals studied, the analysis showed no significant difference in average price increases between commercial and other types of publishers. The range of prices and the average price for commercial publishers were greater than those for other publishers but the average increases were comparable. Wider disparity was found in the price increases of agricultural journals. For example:

- between 1988 and 1994, the prices of agricultural journals, on a price per page basis, increased 64.7% for all titles, with commercial publishers at a high of 77.8% and with society and association publications at a low of 33.3%;
- of the top 25 most expensive agriculture titles in 1994 as measured by cost per 1,000 characters, 24 were published by commercial publishers;
- increases in the consumer price index (CPI) and decreases in the value of the U.S. dollar against European currencies only account for a portion of the price increases; for agriculture, 50% of the price increase for commercial titles produced in Germany and the Netherlands could not be attributed to CPI and currency fluctuations; and
- of the 88 agriculture titles published by commercial companies, slightly more than half were below the 1.0 impact factor and above the highest cost of the journals of other types of publishers.

The task force report concludes that, "There would appear to be a disparity of pricing by select publishers some of which can be localized to specific countries. These facts are indisputable and may not be dismissed as a change in the U.S. dollar value."[2] The report makes several suggestions for how the academic community can help address these problems, including the possibility of not submitting articles or providing editorial services to journals which have excessive costs, take copyright unto themselves for profit, or restrict access to information by high subscription rates. The full report with tables may be found online at <http://adam.mannlib.cornell.edu/jps/jps.htm>.

[1] *Journal Price Study: Core Agricultural and Biological Journals* (Ithaca, New York: Faculty Taskforce, College of Agriculture and Life Sciences, Albert R. Mann Library, Cornell University, November 1998).

[2] Ibid., 25.

## NIH PROPOSES E-BIOSCI

Dr. Harold Varmus, Director of the U.S. National Institutes of Health, has proposed the creation of a centralized electronic publishing site that would feature research reports in the life sciences. The site would include both peer-reviewed and preprint reports available freely to the scientific community, as well as to the public. The project would be governed by a board composed of authors, editors, computer specialists, and funding agencies. Certified scientific groups and publishers would be allowed to post peer-reviewed articles, and if they choose, e-prints, to the site. While Dr. Varmus and the other drafters of the proposal believe that authors should retain copyright to their work, they indicate that this matter could be left to the individual editorial boards to resolve. The proposal does state, however, that the "advisory board might...want to consider the possibility that some 'fair use' policy should be adhered to by all journals participating in the system, even those that choose to retain copyright."[1]

Originally named E-biomed, the project is now called E-biosci and has expanded beyond biomedical literature to include all of the life sciences. In the document outlining the proposal, Varmus states: "In this essay, we propose a system for electronic publication of new results and ideas in the biomedical sciences. We do this with the conviction that such means of publication can accelerate the dissemination of information, enrich the reading experience, deepen discussions among scientists, reduce frustrations with traditional mechanisms for publication, and save substantial sums of public and private money."[2]

E-biosci has come under fire from some publishers who believe that it would undermine the entire economic incentive for publishing. Varmus acknowledges that subscriptions may decline, but encourages societies to explore alternatives for raising revenue. He suggests that the review process could be sustained by page charges or submission fees paid by authors. In a recent meeting with the ARL Board of Directors, Dr. David Lipman, Director of the National Center for Biotechnology Information (NCBI) at the National Library of Medicine and a colleague of Dr. Varmus, indicated that E-biosci is moving forward despite the opposition from publishers. Lipman noted that several societies who had spoken out against E-biosci were now working with them. These ongoing discussions have resulted in the evolution of the E-biosci concept. Lipman also reported that Congress has requested start date and budget information from NIH.

E-biosci is intended to be an international initiative. At a meeting on July 21, the European Molecular Biology Organization (EMBO) affirmed its support for "a single searchable large database" and expressed its commitment to participate in the development of E-biosci. (A report of the meeting and a general statement by EMBO can be found at <http://www.embo.org/index.html>.)

The ARL Board of Directors unanimously endorsed E-biosci in July. ARL has long spoken out against the high prices and limited access created by the current system of scientific journals publishing. E-biosci has the potential to transform this system. ARL applauds Dr. Varmus for his willingness to carry out the wishes of the research community in the face of strong opposition.

[1] Harold Varmus, "E-BIOMED: A Proposal for Electronic Publications in the Biomedical Sciences," 5 May 1999 (Draft), 20 June 1999 (Addendum), <http://www.nih.gov/welcome/director/ebiomed/ebiomed.htm>.

[2] Ibid.

## CANADIAN NATIONAL SITE LICENSING PROJECT FUNDED

The Canada Foundation for Innovation will provide $20 million over three years to fund the Canadian National Site Licensing Project (CNSLP). The project is spearheaded by the Canadian Association of Research Libraries (CARL) and will be administered by the University of Ottawa.

The goal of the CNSLP is to dramatically increase the quantity, breadth, and depth of the most current research literature available to Canadian academic researchers. A national consortium of 64 Canadian universities will negotiate with journal publishers and vendors to obtain pan-Canadian site licenses for electronic versions of scholarly journals, mostly in scientific disciplines.

By uniting their efforts under the CNSLP, Canadian institutions will greatly increase their buying power and will be able to negotiate better contractual terms for access to a much larger body of published research. In addition, the institutions will improve accessibility through electronic delivery of research material, which creates the possibility of national digital library services.

The project funding from the Canada Foundation for Innovation (CFI) comes from the Institutional Innovation Fund. The $20 million grant will cover about 40% of the cost of the CNSLP, with an additional $30 million coming from regional or provincial partners and the 64 participating institutions. CFI is a corporation established by the federal government to strengthen Canadian capability for research.

For more information contact either Richard Greene, University Chief Librarian, University of Ottawa, <rgreene@uottawa.ca>, or Tim Mark, Executive Director, Canadian Association of Research Libraries, <carl@uottawa.ca>.

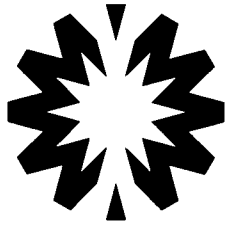
# Reclaiming What We Own: Expanding Competition in Scholarly Publishing

*by Michael L. Rosenzweig, Professor of Ecology & Evolutionary Biology, University of Arizona*

*The author is founder and editor of* **Evolutionary Ecology Research**, *created in response to the escalating cost of a Wolters Kluwer journal that he also founded and edited. The following is excerpted from a longer address delivered to the Ninth Conference of the Association of College & Research Libraries held last April in Detroit.*

Several commercial publishers have so emphasized the maximization of profit that they have restricted the flow of knowledge. In so doing, they have exiled themselves from the academic enterprise. If they actually produced that knowledge, maybe we could forgive them. But library clients actually produce it, and taxpayers pay for almost all of it.

Placing blame won't help. We are here both to take back the hijacked cargo and to protect it from future raids. To that end, I want to contribute the story of *Evolutionary Ecology* and *Evolutionary Ecology Research*. I believe that our story has two kinds of value. It illustrates much of the problem and it can illuminate a great deal of what needs to be done to solve it for good.



Scholarly Publishing and Academic Resources Coalition

In late 1984, I began working with a fine English commercial publisher to create a new biology journal. Chapman & Hall was Charles Dickens's publisher, and Anthony Trollope's too. It had 150 years of proud accomplishments to its credit. And it was acutely aware of its dual role as profit-maker *and* disseminator of knowledge and of culture. I never signed an agreement with Chapman & Hall—our relationship was based entirely on old-fashioned trust.

*Evolutionary Ecology* started as a Smythe-sewn quarterly of three signatures each issue. Libraries paid $100 a year and individuals, $35.

Then in 1987, Chapman & Hall suffered a hostile stock takeover at the hands of International Thomson Corporation (ITC). ITC paid threefold what others thought Chapman & Hall stock was worth. Why? Because they priced the stock based on what they planned to charge for Chapman & Hall publications, not on what C&H charged. And ITC planned to charge a lot more! My honeymoon with Chapman & Hall was over.

Prices soon began to rise. Yes, the journal grew in size. But the sewn-signature binding was replaced by the much cheaper perfect binding. And there were other signs of cost cutting. Skilled employees left and were replaced by tyros who made a lot of mistakes. Then, these were replaced by independent contractors. Chapman & Hall did not have to pay them any benefits nor even to provide them any desk space. I would send the manuscripts to a copyeditor who did not even live in London, let alone work for Chapman & Hall. That person handled further communication with authors and with the typesetters (who worked in Bombay) and a printer (whose plant was in Wales). After printing, journals went to a mailing house with international offices. All Chapman & Hall did was collect and dispense the money. Your money. There was no risk because, as you well know, subscribers pay in advance.

Much later I discovered that ITC kept most of that money for themselves. For example, in 1998, our journal had some 400 subscribers worldwide. All costs of producing and distributing the journal amounted to less than $80,000. But subscription revenues were somewhere between $250,000 and $300,000. Chapman & Hall never shared this information with me; I had to do a little research to obtain my estimates. But I assure you, they are pretty close to the money!

For a decade, prices are rising and I am squealing my little head off. I doubt that it did much good, although I like to think I may have minimized the inflation of our journal's prices at least a bit. Basically however, I was powerless, absorbing lame excuses one after another. "Paper costs are up, mailing is up; typesetting costs more; *EE* has more pages per year." All of these things were true, but they had little to do with the price increases. The truth rather lay in the unrestrained greed of profiteers who knew they had us all locked in. How else can you explain a 275% markup on goods paid for in advance?

And the publishers say they add value! Horse-droppings. We add the value, you and I do. We add it as taxpayers. We add it with our hard scholarly labor and our dearly won library budgets that add the final element to value—access. We add the value. We supply the raw material. We pay the copyeditors, the typesetters, the printer, and the mailer. They merely handle the money. And they have been taking much more than a fair share at a 275% markup. That's the same as a 73.3% profit margin. Would you deal with a money-changer who demanded almost 75 cents of every dollar that you asked him to change into pounds sterling?

Then, a year ago, the sky fell in. ITC sold Chapman & Hall to Wolters Kluwer. My dream of lower prices changed from fantasy to foolishness. There was every reason to expect further price inflation.

I had had enough. My editors had had enough.

We pleaded: Sell us to a university press. Please sell us. But Kluwer refused. So, guided through the uncharted desert by our fiery attorney—a pillar of the community—we girded our loins, put sandals on our feet, took up our staffs and set out for the Sea of Red Ink. We left the established journal to found a competing journal that is an affordable alternative: *Evolutionary Ecology Research*.

Kluwer could not believe it at first. But, once they did, they expressed a certain amount of displeasure. How could I blame them? I think they bought the Brooklyn Bridge. They apparently believed they would acquire me, my editorial board, and all the backlog of unprocessed manuscripts on which we had worked so hard. Our lawyers did not agree. Neither did our authors. About 90% decided to submit their manuscripts to *EER* rather than to *EE*. We have to find a way to tell this part of the story to all academics. And we will. Publishers now claim far more rights than they actually have. And most academics simply believe them.

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Foment freedom! I must tell you that academics have no idea what's going on. They do not know what libraries are going through just now. They have no sense of what a publisher does or how inexpensive it is to do it. They don't even know about their own rights and privileges. When it comes to publishing, they are an uninformed herd, fed, milked, and slaughtered at will. And happy to be of service!

At first, you might feel daunted by the size of this herd. But we need not start with the hundreds of thousands of yeoman academics who produce the manuscripts. We can target a much, much smaller group, the several thousand editors who work alongside a few commercial publishers. Getting to them will not be so tough—their names are already published in the journals they edit, and their snail- and e-mail addresses won't be that difficult to compile. They need to learn what is going on and how they can protect their authors and their professions from the restricted flow of information that now plagues us.

All this can amount to a homeostatic system. In other words it can regulate itself. Now, in a sense, we already have a homeostatic system. But it is one that admits only stockholders as stakeholders. The devil with dissemination. Forget about scholarship and the world of the intellect. To blazes with the public's right to access the information they have paid to create. Build profit. Make as much money as you can! Every paper is a virtual monopoly and if you can find a way to own it, you can charge whatever the libraries can bear to pay. If some publishing house still allows any of the outmoded values into its pricing system, terrific, it is a target of opportunity. Buy it and get prices up to where they can be. Taking full advantage is not illegal. It is simply good business.

The homeostatic system implicit in *our* remarks is more complex and varied in its goals. It admits many stakeholders and sets up a checks-and-balances scheme to see that all are served. It views academic publishing as a partnership among editors, authors, publishers, libraries, and the public at large. We must make it the ethical alternative. Then we must pursue a three-C's policy toward those publishers who refuse to cooperate with it: chastise them, castigate them, and censure them. Make it clear to academics that these publishers are ethically suspect and that it is consequently ethically dubious to publish anything with them, or to edit their manuscripts or to review for them.

Thank you all again for all you have been doing. Not just for *EER*, but for all your steady support of scholarship over the generations.

*In the complete paper, Dr. Rosenzweig gives his views on the burden of Internet-only subscriptions, at least until concerns about archiving are addressed and journal authors have made an "emotional adjustment" to Internet-only journals. The full address is posted to the ARL website at <http://www.arl.org/sparc/rosenzweig.html>.*

# SPARC Notes

*by Alison Buckholtz, SPARC Assistant Director, Communications*

## BioOne

The product of a collaboration among SPARC, the American Institute of Biological Sciences (AIBS), the Big 12 Plus Library Consortium, the University of Kansas, and Allen Press, BioOne will provide Internet access—for the first time—to a common database of leading bioscience research journals.

BioOne is committed to ensuring the viability of high-impact, low-price society journals in the electronic marketplace. Despite their significance in their respective fields, few of the AIBS-affiliated journals are available electronically. Without BioOne, these undercapitalized journals are at risk of being squeezed out of the market or taken over by commercial publishers.

BioOne is geared toward the needs of libraries. Together, libraries and society publishers will determine pricing, policies, and development priorities. Access will be available in early 2000. For more information about BioOne, see the SPARC website at <http://www.arl.org/sparc/bio1/bio1.html>. BioOne has been featured in *Science* (25 June 1999), *Nature* (24 June 1999), and the *Chronicle of Higher Education* (2 July 1999).

## Partner News

### *Evolutionary Ecology Research*

*Evolutionary Ecology Research* (*EER*) has adopted an "in press preprint" feature for articles accepted for publication. In an effort to be responsive to researchers eager to see their articles published in a timely fashion, individuals at libraries subscribing to *EER* can now read forthcoming papers after they have been peer-reviewed but before they have been copyedited and printed. This makes the article available as an "in press preprint" six to eight months before it becomes available in polished form in the journal. Authors of accepted manuscripts can take advantage of this free service immediately. Twenty-five percent of *EER*'s forthcoming papers are already accessible. To access *EER*'s in press preprints, go to the "Forthcoming Papers" section of *EER*'s web site at <http://www.evolutionary-ecology.com>. *EER*'s first five issues are now online, and the current issue is available as a free sample.

Several dozen ALA Annual Conference attendees stopped by SPARC's booth to watch portions of "Research for Ransom," the KUAT-TV segment that features the story behind *Evolutionary Ecology Research*. The journal was established by editor Mike Rosenzweig as an alternative to more costly journals. If you would like a copy of the videotape, please email Alison Buckholtz at <alison@arl.org>.

### American Chemical Society

The American Chemical Society (ACS), publisher of *Organic Letters*, the first journal developed through a partnership with SPARC, announced its second collaborative publishing venture with SPARC at the 218th ACS National Meeting, August 22–26. *Crystal Growth and Design*, a new journal dedicated to publishing original research on the physical, chemical, and biological phenomena and processes related to crystal growth and design of new materials, will debut in mid-2000. It will follow in the path of *Organic Letters*, which launched in July 1999.

ACS is the first major publisher to work with research libraries to offer journals at more accessible prices. *Organic Letters* and the forthcoming *Crystal Growth and Design* are the first two of three journals ACS will publish in collaboration with SPARC. Each journal features Articles ASAP (As Soon As Publishable), a publishing system developed by ACS whereby full-text articles are posted on the web as soon as they are approved by the author. Articles ASAP appear on the web weeks before they appear in print.

For more information, see the ACS website at <http://pubs.acs.org/>.

### *PhysChemComm*

*PhysChemComm*, the electronic-only journal focused on rapid publication of its peer-reviewed articles, has demonstrated again its responsiveness to researchers' needs. A July article by Professor Graham Fleming (University of California at Berkeley) features full color 3D interactive figures, while a recent article by Professor Jean-Pierre Hansen (University of Cambridge, UK) was published just 27 days after submission.

*PhysChemComm*'s new tutorial feature ensures that readers can make the most of the journal's web-enhanced articles. The tutorial explains the mouse or keyboard commands that readers may use to rotate molecules for closer inspection or change the appearance of figures to show different attributes. To use the tutorial, follow the link "New to Electronic Journals?" on the *PhysChemComm* homepage at <http://www.rsc.org/physcc/>.

The number of people registered with *PhysChemComm*'s free email alerting service is increasing every day. The service, which is available for both subscribers and nonsubscribers, is the best way to stay informed of developments concerning the journal, such as details of published articles as they appear, and also more general news about *PhysChemComm*, such as editorial appointments. Those interested can register for the service using the Royal Society of Chemistry's online registration form.

## SPARC Membership Meeting

SPARC's first membership meeting, "Opportunities for Scholarly Communications: Crafting New Models," will be held October 14–15 in Washington, D.C., immediately following the ARL Membership Meeting. The SPARC meeting is shaping up to be two days worth of energizing advocacy training sessions, interactive brainstorming, and panel discussions that will equip members to communicate SPARC's message on campus. Also, SPARC's publisher-partners will be present to discuss their progress and answer your questions, and SPARC's Scientific Communities Initiative grant recipients will be announced. For more information, see the SPARC website at <http://www.arl.org/sparc/>.

## Australian Vice-Chancellors' Committee

SPARC has received an endorsement from the Australian Vice-Chancellors' Committee. For more information, see <http://www.arl.org/sparc/avcc.html>.

## New at SPARC

SPARC has appointed Julia Blixrud Assistant Director, Public Programs. In this part-time role, Julia will represent SPARC at conferences, association meetings, university programs, and a number of other forums, where she will speak out about SPARC initiatives and the scholarly communications industry. To arrange a speaking engagement, contact Julia at <jblix@arl.org>.

In a related development, Alison Buckholtz, formerly SPARC's Communications Manager, was appointed Assistant Director, Communications.

*DeEtta Jones, Director of Diversity Initiatives*

## ARL WELCOMES THE LEADERSHIP AND CAREER DEVELOPMENT PROGRAM CLASS OF 2000

In 1997–98, ARL launched the first Leadership and Career Development (LCD) Program to enhance the leadership skills and visibility of promising librarians of color. The first class consisted of 21 participants representing a diverse combination of professional experiences (years of library experience range from three to seventeen years), cultural backgrounds, library settings, research interest areas, and academic backgrounds. Since the closing of that inaugural Program in June 1998, 13 of the 21 (62%) participants have advanced within their institutions or accepted new positions with increased leadership responsibility in the academic and research library community. Further, Program members are assuming visible leadership roles in the local and national library communities through:

- mentoring the ALA Spectrum Scholars;
- working to design and deliver the Spectrum Leadership Institute;
- presenting at national and international library and higher education conferences; and
- publishing their research projects in professional journals and as book chapters.

Based on experience with and feedback from the inaugural Program, several enhancements have been incorporated into the plans for the next LCD Program. The most significant programmatic improvement is the development of a distance learning component to facilitate the ongoing sharing of information and resources before, during, and after Institutes. Distance education will allow mentors, guest presenters, and ARL faculty to support the participants' project development and maximize learning from the Institutes. Other enhancements include working with three new facilitators to build on and go beyond the pilot program design; encouraging more frequent communications between participants and their mentors and home library directors; and developing an expanded LCD Program website for participant, mentor, and faculty interaction at <http://www.arl.org/diversity/lcdp.html>.

In June 1999, ARL announced the participants of the 1999–2000 LCD Program. This group consists of 17 librarians, each of whom has already begun forming a mentoring relationship with the director of an ARL library. The 1999–2000 participants are listed below, along with their research project topics and mentors. The initial Institute, when participants come together with faculty for a week of intensive programs, took place this month.

## LCD PROGRAM CLASS OF 2000

Deborah Abston
Arizona State University
Research Project: Training Academic Librarians in the Use of Various Electronic Reference Tools
Mentor: Carla Stoffle, University of Arizona

Stephanie Sterling Brasley
UCLA College Library
Research Project: Information Fluency
Mentor: Jennifer Younger, University of Notre Dame

Xiaofei Chen
University of Michigan
Research Project: The Management of Electronic Resources Related to Chinese Studies
Mentor: Jack Siggins, George Washington University

Jerome UpChurch Conley
Miami University
Research Project: Fundraising for Libraries in Universities' Capital Campaigns
Mentor: James Neal, Johns Hopkins University

Joseph (Bob) Diaz
University of Arizona
Research Project: Career Choices Minority Librarians Make
Mentor: Kenneth Frazier, University of Wisconsin-Madison

Karen Downing
University of Michigan
Research Project: Did the Peer Information Counseling Program at the University of Michigan Influence Career Decisions of the Participants?
Mentor: Emily Mobley, Purdue University

Deborah R. Hollis
University of Colorado at Boulder
Research Project: Where the Colored Folks Are: A Look at African American Librarians in Management
Mentor: Joan Giesecke, University of Nebraska-Lincoln

Dawn Ventress Kight
Southern University-Baton Rouge
Research Project: Distance Education and the Academic Library
Mentor: Pamela André, National Agricultural Library

Karen Letarte
Southwest Missouri State University
Research Project: A Quality Analysis of the Program for Cooperative Cataloging BIBCO Core Records Contributed to the OCLC Database
Mentor: Nancy L. Baker, Washington State University

Haipeng Li
Oberlin College
Research Project: The Role of Libraries in a Multicultural Society: The Yunnan (China) Experience
Mentor: Scott Bennett, Yale University

Jian Liu
Indiana University
Research Project: Electronic Journals in the Humanities
Mentor: Joseph Branin, State University of New York at Stony Brook

Genette McLaurin
New York Public Library
Research Project: Educational Objectives and Potential for Development of Electronic and Networked Information Resources in Africana Studies
Mentor: Meredith Butler, State University of New York at Albany

Elena (Jeannie) Posadas Miller
Texas A&M University
Research Project: Science/Engineering Reference in the New Millennium
Mentor: Karin Trainer, Princeton University

Corey Murata
University of Washington
Research Project: Environmental Survey of Computing and Technology Support in ARL Libraries
Mentor: William Gosling, University of Michigan

Darlene Nichols
University of Michigan
Research Project: Did the Peer Information Counseling Program at the University of Michigan Influence Career Decisions of the Participants?
Mentor: Paula T. Kaufman, University of Illinois at Urbana-Champaign

Dajin Sun
Yale University
Research Project: How Do Research Libraries Provide Bibliographic Access to the Digital Resources in Their Collections?
Mentor: Paul Kobulnicky, University of Connecticut

Judith A. Valdez
University of Colorado at Denver
Research Project: Training Librarians and Paraprofessionals in the Reference Skills Needed to Help Patrons with Disabilities
Mentor: James F. Williams, II, University of Colorado at Boulder



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*Kathryn J. Deiss, OLMS Program Manager*

## ARL/OLMS LAUNCHES ONLINE LYCEUM

With three new courses scheduled for this fall, ARL introduces the Online Lyceum, a web-based learning environment integrating the innovative use of technology with time-tested ARL and OLMS program content. The Online Lyceum is a collaborative partnership between ARL/OLMS and Southern Illinois University Carbondale, Library Affairs Instructional Support Services.

The Online Lyceum is the outcome of the exploration of options for distance education delivery of OLMS programs, one of the key strategic priorities identified by OLMS for 1999–2000.

Online Lyceum participants can work their way through the course content at their own pace. All courses incorporate elements of synchronous (real-time) and asynchronous communication among and between participants, facilitators, and learning resources. The Online Lyceum offers unlimited online contact with content experts, both during and after the workshop.

This fall's course offerings are:

**Coaching for Performance, Sept. 27–Oct. 15**
Participants will learn the key principles and techniques of effective coaching to develop human resources. Course facilitators/designers are:

- Kathryn Deiss, ARL/OLMS Program Manager
- DeEtta Jones, ARL Director of Diversity Initiatives
- Trish Rosseel, ARL/OLMS Program Officer for Distance Learning
- Mel Hawks, ARL/OLMS Organizational Development Consultant

**Training Skills Online: Facilitating Effective Learning, Oct. 12–Nov. 19**
This course will teach participants the basic concepts and methods of conducting training. Course facilitators are:

- Kathryn Deiss, ARL/OLMS Program Manager
- George Soete, ARL/OLMS Organizational Development Consultant
- Trish Rosseel, ARL/OLMS Program Officer for Distance Learning

**The Role of Assessment in Advancing Diversity for Libraries, Nov. 29–Dec. 17**
Each participant will design a diversity program that fits their library's needs, examine methods to assess the program, and identify a strategy for program implementation. Course facilitators are:

- DeEtta Jones, ARL Director of Diversity Initiatives
- Martha Kyrillidou, ARL Senior Program Officer for Statistics and Measurement
- Julia Blixrud, ARL Director of Information Services

*For more information about the Online Lyceum, contact Trish Rosseel at <trish@arl.org> or see <http://www.arl.org/training/lyceum.html>.*

## NEW SPEC KITS FROM THE OLMS INFORMATION SERVICES PROGRAM

The OLMS Systems and Procedures Exchange Center (SPEC) publishes SPEC Kits to identify expertise and encourage exchanges among academic and research library staff. Kits contain practical management information on how libraries deal with today's challenges. The subseries Transforming Libraries (TL) focuses on libraries leading technological change. For a comprehensive list of SPEC Kits, see <http://www.arl.org/spec/complete.html>.

**Web Page Development and Management**
SPEC Kit 246, June 1999
*by Yaping Peter Liu, University of Delaware*

**Electronic Reserves Operations in ARL Libraries**
SPEC Kit 245, May 1999
*by Cindy Kristoff, Kent State University*

**Library Buildings: Renovation and Reconfiguration**
SPEC Kit 244, TL9, April 1999
*by William G. Jones, University of Illinois at Chicago*

**Service to Users with Disabilities**
SPEC Kit 243, TL8, April 1999
*by GraceAnne A. DeCandido, Blue Roses Editorial and Web Consulting*

**Library Storage Facilities, Management, and Services**
SPEC Kit 242, May 1999
*by Jan Merrill-Oldham, Harvard University, and Jutta Reed-Scott, Consultant for ARL*

**The Gifts and Exchange Function in ARL Libraries**
SPEC Kit 241, March 1999
*by Catherine Denning, Brown University*

**Marketing and Public Relations Activities in ARL Libraries**
SPEC Kit 240, April 1999
*by Evelyn Ortiz Smykla, University of Alabama*

**Mentoring Programs in ARL Libraries**
SPEC Kit 239, March 1999
*by Barbara Wittkopf, Louisiana State University*

**The ARL Geographic Information Systems Literacy Project**
SPEC Kit 238, March 1999
*by D. Kevin Davie, James Fox, and Barbara Preece, Southern Illinois University at Carbondale*

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*Lee Anne George, Program Planning Officer*

# RECENT GRANTS

*A number of governmmental agencies have recently awarded grants to pursue research and other projects of importance to research libraries and their users.*

## U.S.-U.K. Digital Libraries Projects

The U.S. National Science Foundation and the United Kingdom Joint Information Systems Committee announced the first projects to be funded under a joint initiative on digital libraries. Six projects will share a total of almost $5 million over a three-year period.

**Cross-Domain Resource Discovery—integrated discovery and use of textual, numeric, and spatial data:** University of California at Berkeley and University of Liverpool.

**HARMONY—metadata for resource discovery of multimedia digital objects:** Cornell University, University of Bristol, and the Australian Distributed Systems Technology Centre at the University of Queensland.

**Integrating and Navigating ePrint Archives through Citation-Linking—a three-way partnership to hyperlink the papers in the Los Alamos Physics Archive:** Cornell University, Southampton University, and Los Alamos National Laboratory.

**Online Music Recognition and Searching (OMRAS):** University of Massachusetts Center for Intelligent Information Retrieval and King's College, London.

**Emulation Options for Digital Preservation—develop and test technology emulation as a method for long-term access and preservation of digital resources:** University of Michigan and Universities of Leeds, Oxford, and Cambridge under the aegis of CURL (Consortium of University Research Libraries).

**The IMesh Toolkit—An Architecture and Toolkit for Distributed Subject Gateways:** the Internet Scout Project at the University of Wisconsin-Madison, the U.K. Office for Library Networking at the University of Bath, and the Institute for Learning and Research Technology at the University of Bristol.

For information on this joint program see the JISC website <http://www.jisc.ac.uk/nsf/proj_9906.html>.

## Save America's Treasures

Recent awards from the White House Millennium Council under the Save America's Treasures initiative administered by the National Endowment for the Humanities include:

**Cornell:** Conservation of Anti-Slavery Pamphlet Collection ($331,000).

**Illinois–Chicago:** Preservation of Jane Addams Photograph Collection ($92,876).

**Princeton:** Deacidification, Repair, and Rehousing of F. Scott Fitzgerald Papers ($50,000).

## NEH Preservation & Access Program

Recent awards from the NEH Preservation and Access program include:

**UC–Berkeley:** Digitizing Medieval Manuscripts and Creating a World Union Catalog ($341,040) and Arrangement and Description of Bay Area Architectural Archives: The First Bay Tradition ($421,874).

**UC–Riverside:** Completion of an International Union Catalog and Bibliography of Early English Serials ($300,000).

**Chicago:** Preservation Microfilming of Collections on the History of Religion ($882,366).

**Columbia:** Conversion to Machine-Readable Form of the Avery Index to Architectural Periodicals, 1934–1976 ($180,000/$20,000 match).

**Cornell:** Workshops on Digital Imaging for Libraries and Archives ($223,697).

**Harvard:** Preservation Microfilming of Collections in the History of Science ($939,900).

**Hawaii:** Preserving and Providing Access to the Takazawa Collection on Social Movements in Postwar Japan ($154,201).

**Illinois–Urbana-Champaign:** Illinois Newspaper Project: Cataloging ($400,000).

**Maryland–College Park:** Preservation Microfilming of and Improved Intellectual Access to the Gordon W. Prange Collection Newspaper and Newsletter Holdings: Phase II ($200,000/$100,000 match).

**New Mexico:** Online Archive of New Mexico ($328,649).

**New York Public:** Arranging, Describing, Preserving, and Improving Access to the National Civic Federation Records ($133,440) and Preservation Microfilming of Latin American Collections ($944,571).

**Oregon:** Oregon Newspaper Project: Cataloging and Microfilming ($600,000).

**Pennsylvania:** Arranging and Describing the Leopold Stokowski Collection, 1909–77 ($62,720/$15,000 match).

**Pittsburgh:** Preservation Microfilming of Bolivian Monographs ($219,388).

**South Carolina–Columbia:** Preserving and Providing Intellectual Access to the South Caroliniana Photographic Collection ($106,778/$10,000 match).

**Texas:** Graduate Training for Preservation and Conservation of Library and Archives Materials ($250,000/$25,000 match).

**Tulane:** Arranging, Describing, and Creating Access to Records Related to the Modern Civil Rights Movement ($170,072).

**Virginia:** Early American Fiction Project: Phase II ($500,000).

### HEA Title VI Grants

Eight projects were funded for the next three years by the U.S. Department of Education under a new Higher Education Act Title VI program: Section 606, Technological Innovation and Cooperation for Foreign Information Access.

**Digital South Asia Library:** Center for Research Libraries, Columbia University, and University of Chicago, to further a project part of the AAU/ARL Global Resources Program ($540,000).

**Latin Americanist Research Resources Project:** The University of Texas at Austin, to extend the project part of the AAU/ARL Global Resources Program ($300,000).

**Russian Periodical Index Digital Project:** Indiana University ($240,000).

**American Overseas Digital Library:** the American Institute for Yemeni Studies, on behalf of the American Overseas Research Centers ($525,000).

**The Digital Asia Library Initiative:** University of Wisconsin, in collaboration with Ohio State University and the University of Minnesota ($525,000).

**Global Window on China:** University of California–Los Angeles ($300,000).

**Central Eurasian Information Resource:** University of Washington ($300,000).

**Accessing African Scholarly Journals:** Michigan State University ($300,000).

### Other Recent Grants

**Center for Research Libraries, Columbia University, University of Chicago, and the Triangle South Asia Consortium in North Carolina,** were funded by the Department of Education (Title VI foreign language training) to digitize dictionaries for each of the 26 modern literary South Asian languages ($445,000).

**New York State Library's** New Netherland Project received a grant of 50,000 guilders (approximately $25,000) from the Prins Bernhard Fonds of the Netherlands to transcribe and translate from Dutch to English the Council Minutes of 1656–1658, a record of the earliest Dutch governance of the New Netherland colony.

## ACLS Begins E-Publishing Project for History Monographs

The American Council of Learned Societies (ACLS) will receive $3 million from The Andrew W. Mellon Foundation to assist scholars collaborating with university presses in the electronic publishing of monographs in history.

The new project has five major goals: 1) to foster broader acceptance by the scholarly community of electronic monograph-length texts as valid scholarly publication, by creating electronic texts of high quality in the discipline of history; 2) to promote collaboration among ACLS, its constituent scholarly societies, university presses, and libraries in electronic publishing; 3) to create the framework for a centralized, noncommercial, electronic publication space; 4) to develop electronic publishing processes that will streamline production and make the creation and dissemination of electronic texts more cost-effective; 5) to establish the viability of publishing small-market, specialized scholarly texts in electronic format.

Participating ACLS constituents are: the American Historical Association, the Organization of American Historians, the Society for the History of Technology, the Middle East Studies Association, and the Renaissance Society of America. The university presses involved are: Columbia, Harvard, Johns Hopkins, New York, Oxford, Rutgers, and Michigan. NYU Press, as publishing coordinator, will host the project's administrative office. Initially, the University of Michigan's Digital Library Production Service (DLPS) will distribute the electronic publications in this series. DLPS will work with the presses to develop formatting standards and advise on development of the interface, searching, access, and usage logging mechanisms.

For more information see <http://www.acls.org/ex-epub.htm>.

## Honors

**Frances Groen**, McGill University, was elected President of the Canadian Association of Research Libraries (CARL) for a two-year term.

**Hwa-Wei Lee**, Ohio University, was named Dean of Libraries Emeritus upon his retirement in August. A new library building was named the Hwa-Wei Lee Library Annex in recognition of Dr. Lee's outstanding professional achievements.

**Hannelore B. Rader**, University Librarian, University of Louisville, was presented with the ACRL Academic/Research Librarian of the Year Award for 1999.

**Maureen Sullivan**, ACRL President and OLMS Organizational Development Consultant, was presented with ALA's 1999 Elizabeth Futas Catalyst for Change Award.

**The Canadian Tri-Universities Group of Libraries—University of Waterloo, Wilfrid Laurier University, and University of Guelph**—was presented with a regional "quality and productivity" award by the Canadian Association of University Business Officers (CAUBO). The award honors the libraries' Tri-University Group Data Resources electronic data service.

## TRANSITIONS

**University of California–San Diego:** Brian Schottlaender was appointed University Librarian, effective in September. He was previously Associate University Librarian for Collections and Technical Services at UCLA.

**Center for Research Libraries:** Donald B. Simpson, President, announced his retirement effective October 29. Milton Wolf, Senior Vice President for Collection Programs, announced his intention to retire on December 1.

**Georgia Institute of Technology:** Director of Libraries Miriam Drake has announced her intention to retire in 2001.

**Kansas:** Keith Russell is Dean of Libraries, effective August 9. He was previously Deputy Librarian, National Agricultural Library.

**National Library of Canada:** Roch Carrier, author and former Director of the Canada Council for the Arts, was appointed National Librarian of Canada. This fall, Mr. Carrier will assume the duties of Marianne Scott, National Librarian since 1984.

**Ohio State:** Joseph J. Branin was appointed to succeed William J. Studer as Director of the University Libraries, effective January 1, 2000, and pending approval by the Board of Trustees.

**Tennessee:** Aubrey Mitchell, previously Associate Dean, was named Interim Dean of Libraries, effective August 13.

**Tulane:** As of July, Carlton Rochell, recently retired Dean of Libraries at New York University, is Acting Dean of Libraries and Academic Information Resources for the next year.

**Wayne State:** Robert Holley, formerly Associate Dean of University Libraries, was appointed Interim Dean effective August 1. He succeeds Patricia Senn Breivik, who resigned to accept a position as Dean of the San Jose State University Library.

### Other Transitions

**American Library Association:** Miriam Nisbet joined the Washington Office on August 16 as Legislative Counsel. In the past, she served as Special Counsel for Information Policy at the National Archives and Records Administration.

**The Andrew W. Mellon Foundation:** In July, Donald Waters relinquished his position as Director of the Digital Library Federation at the Council on Library and Information Resources in order to join the staff of the Foundation as Program Officer for Scholarly Communication. On September 1, Secretary Richard Ekman will leave The Andrew W. Mellon Foundation and begin work at The Atlantic Philanthropic Service Company (APS) as Vice President for Programs.

**Carnegie Corporation of New York:** Susan King succeeded Avery Russell as Director of Public Affairs and Program Officer.

**Committee on Institutional Cooperation:** Barbara McFadden Allen succeeded Roger G. Clark as Director.

**National Archives of Canada:** Ian Wilson, Archivist of Ontario since 1986, was appointed National Archivist of Canada.

**National Endowment for the Humanities:** George Farr, Director of Preservation and Access, was named Acting Deputy Chairman of NEH; Jeff Field was named Acting Director of Preservation and Access.

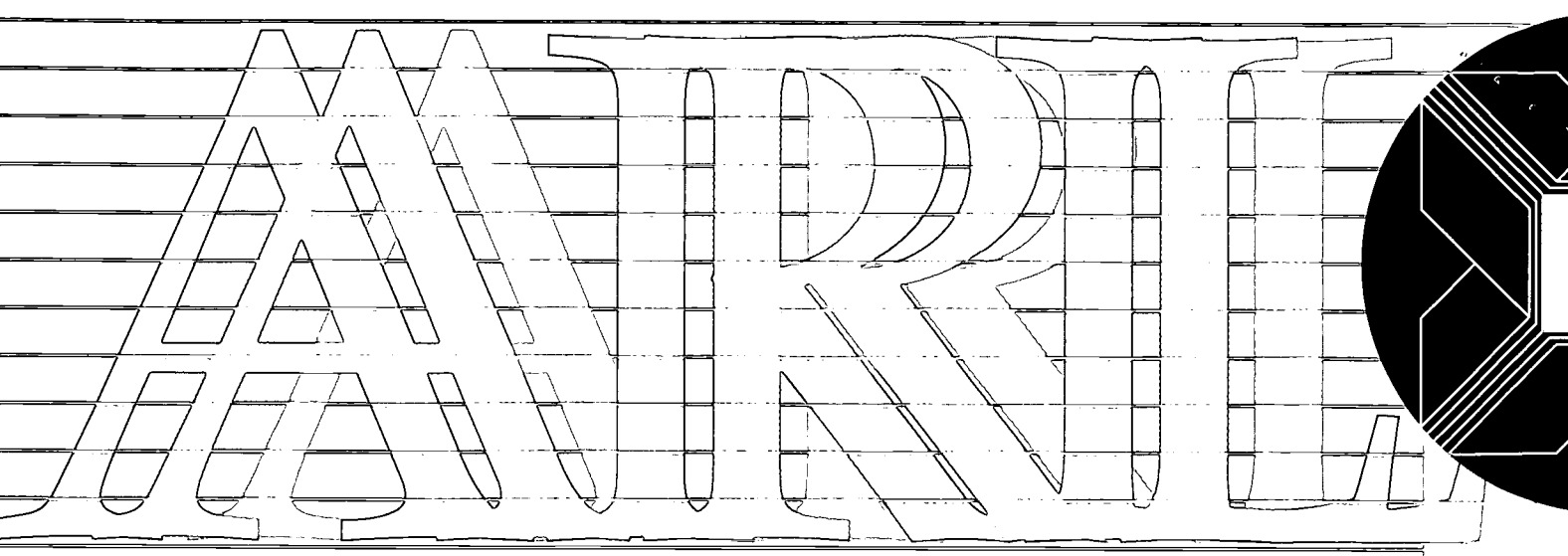
### ARL and SPARC Staff News

Summer of 1999 brought a number of staffing changes at ARL and SPARC. In July, **Martha Kyrillidou** resumed her full-time position as Senior Program Officer for the Statistics and Measurement Program after completing a two-year Fulbright commitment in Greece. Effective August 4, **Julia Blixrud** is working from Lawrence, Kansas, as Director of Information Services. She is dividing her time among three programs: ARL Information Services, ARL Statistics and Measurement Program, and a new role as SPARC Assistant Director, Public Programs.

**Trish Rosseel** was appointed OLMS Program Officer for Distance Learning effective August 1. Ms. Rosseel came to ARL as a Visiting Program Officer last year and led the effort to create the ARL/OLMS Online Lyceum. **Melanie Hawks**, Staff Development Officer for the University of Utah, began working one-quarter-time for OLMS on July 5 and will assist in designing the Online Lyceum's course Coaching for Performance.

**Kaylyn Hipps** was appointed Editorial Specialist on July 1. A former Research Assistant at ARL while earning her MS in Library and Information Science at Catholic University, she returns after holding library positions at the University of Virginia and the University of Oregon. Ms. Hipps assumes the editorial duties of **Karen Wetzel**, who received her MS in Library and Information Science from Catholic University in December 1998 and resigned from ARL in June to accept a residency with the University of Massachusetts–Amherst Libraries.

In addition, five staff members were promoted in recognition of their expanding responsibilities. The new titles for these colleagues are: **Mary Jane Brooks**, Executive Officer; **Alison Buckholtz**, SPARC Assistant Director, Communications; **Bradley Houseton**, Communications and Marketing Coordinator; **DeEtta Jones**, Director of Diversity Initiatives; and **Dru Mogge**, Program Officer for Internet Services.



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**Executive Director:** Duane E. Webster
**Editor:** G. Jaia Barrett, Deputy Executive Director
**Assistant Editor:** Kaylyn Hipps
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# CALENDAR 1999

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|---|---|
| September 16–17 | License Review and Negotiation: Building a Team-Based Institutional Process<br>*Dallas, TX* |
| September 24–25 | ARL/OCLC Strategic Issues Forum for Academic Library Directors<br>*Keystone, CO* |
| September 27–October 15 | Coaching for Performance<br>*ARL/OLMS Online Lyceum Course* |
| October 4–6 | Training Skills Institute<br>*San Diego, CA* |
| **October 12–14** | **ARL Board and Membership Meeting**<br>*Washington, DC* |
| October 12–November 19 | Training Skills Online: Facilitating Effective Learning<br>*ARL/OLMS Online Lyceum Course* |
| October 26–29 | EDUCAUSE '99<br>*Long Beach, CA* |
| October 26–29 | Library Management Skills Institute II: The Management Process<br>*Evanston, IL* |
| November 3–5 | Assistant/Associate Librarian Institute<br>*Charleston, SC* |
| November 10–12 | Edgework Institute: Stimulating Innovation in Libraries and Information Services<br>*Washington, DC* |
| November 11–13 | Electronic Publishing of Data Sets on the WWW<br>*Charlottesville, VA* |
| November 17–19 | Library Management Skills Institute I: The Manager<br>*Atlanta, GA* |
| November 29–December 17 | The Role of Assessment in Advancing Diversity for Libraries<br>*ARL/OLMS Online Lyceum Course* |
| December 6–7 | From Data to Action: An ARL Workshop on Strategies to Redesign ILL/DD Services<br>*Washington, DC* |
| December 13–14 | CNI Fall Task Force Meeting<br>*Phoenix, AZ* |

SPARC's first membership meeting, "Opportunities for Scholarly Communications: Crafting New Models," will take place on October 14 and 15, 1999, in Washington, DC. See <http://www.arl.org/sparc/99mtg.html>.

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ARL

A BIMONTHLY REPORT ON RESEARCH LIBRARY ISSUES AND ACTIONS FROM ARL, CNI, AND SPARC

October 1999

206 SPECIAL ISSUE ON GLOBAL RESOURCES

# THE AAU/ARL GLOBAL RESOURCES PROGRAM: BOTH MACROCOSM AND MICROCOSM

*by Deborah Jakubs, Director, AAU/ARL Global Resources Program, and Director, Collections Services, Duke University Libraries*

Established early in 1997 with generous funding from The Andrew W. Mellon Foundation, the Global Resources Program, a joint initiative of ARL and the Association of American Universities (AAU), quickly set an ambitious course. Building on the achievements and findings of the ARL Foreign Acquisitions Project and the AAU Research Libraries Project, and responding to the crisis identified in Jutta Reed-Scott's *Scholarship, Research Libraries, and Global Publishing* (Washington: ARL, 1996), the Global Resources Program has broad goals: to improve access to international research resources for scholars and students, especially through cooperative structures and new technologies, and to help libraries contain associated costs. The Program represents a multifaceted approach to a complex problem that will only be solved through innovative strategies that require changes in behavior (individual and institutional), increased reliance on a variety of partners, and a new system of financial incentives. The AAU has shown a persistent interest in the issues affecting research libraries, and recognizes in the Global Resources Program a model that may be broadened and applied to other areas of library acquisitions and access.

## The Global Resources Program as Macrocosm

A globally oriented program is by definition ambitious, especially when it is focused on information and its dissemination. Despite an increasing reliance on electronic information, print book and journal publishing worldwide continues to expand dramatically. Accordingly, the strategies adopted to tackle the goals of the Global Resources Program are multiple and varied:

- providing seed money for an initial set of six diverse regional projects (on Africa, Germany, Japan, Latin America, South Asia, Southeast Asia);
- gathering information into a clearinghouse on ARL libraries' linkages with institutions abroad;
- building bridges to scholars who use international materials, and to the scholarly associations to which they belong, in order to develop a better understanding of the research resources they need and how libraries can facilitate access to them; and
- helping to create new models for recruiting and training future area specialists who have strong subject knowledge, initiative, and the right skill set.

The systematic identification of collection strengths of North American libraries will be another important step toward the Program's full implementation, and the launching of other area- and subject-specific projects as they are designed is an ongoing objective. The overarching strategy for the Program is to scale up from the projects by selecting, from among the models they are testing, the elements that will contribute to a comprehensive, cooperative, distributed program of access to international resources, regardless of their format or location. The eventual goal is to move beyond

*Continued*

a set of discrete, area-specific projects to an interconnected, globally oriented program in which "lead institutions" provide users throughout North America with both physical collections and access points to diverse resources published in or relating to a given world area. Another long-term goal of the Program—essential for making the vision into reality—is to develop a system of financial incentives that will benefit a broad range of institutions, as well as sustain the Program well into the future.

## The Global Resources Program as Catalyst

The six regional projects currently underway offer an impressive array of approaches to addressing some of the most urgent information needs of scholars researching individual world regions. These approaches range from the creation of a web-based union list of sub-Saharan African newspapers to an international document delivery service between North American and German research libraries, from a Latin American table-of-contents database with direct, user-initiated article requesting capability to the digitization, in India, of South Asian reference works and periodicals, and the creation of an image database of Thai journal literature.

The full impact of the Program, however, extends beyond this set of projects. For example, awareness of the factors that negatively affect the ability of libraries to provide the materials that users need, that litany of pressures with which librarians are all too familiar, has been heightened among faculty and within scholarly associations. Librarians with responsibility for one region of the world are finding common ground with those whose principal focus is another. The Overseas Offices of the Library of Congress are key participants in many of the projects and are uniquely prepared to address directly the key issue of access through the expansion of the services they provide in Cairo, Islamabad, Nairobi, New Delhi, Jakarta, and Rio de Janeiro. The Center for Research Libraries has launched the International Coalition on Newspapers (ICON), an ambitious and much-needed effort to identify, preserve, and make accessible as wide a range of foreign newspapers as possible. Collaboration with institutions outside North America, both formal and informal, has been stimulated by the identification of reciprocal relationships for collection development, interlibrary lending and borrowing, and document delivery. In short, the AAU/ARL Global Resources Program has been a catalyst in stimulating interest and action to strengthen international library resources.

## A New Department of Education Title VI Program

An exciting new initiative that is linked to the Global Resources Program was launched this year. Lobbying by ARL and other proponents of the Program led to the authorization in 1998 of Section 606 of Title VI of the Higher Education Act. This new program, "Technological Innovation and Cooperation For Foreign Information Access," is managed by the U.S. Department of Education and makes available $1 million per year in support of projects that utilize technology to gain access to resources that are not readily available in the United States. The recent competition for Section 606 resulted in three-year funding for a set of eight projects, including the Digital South Asia Library ($180,000/year) and the Latin Americanist Research Resources Project ($100,000/year), both regional projects under the Global Resources umbrella. These awards are notable for several reasons: both proposals were submitted by ARL member libraries, on behalf of a group of libraries (the Center for Research Libraries for South Asia, and the University of Texas for Latin America), and both attest to the success of the projects thus far. Nearly all of the funded projects were initiated by ARL libraries either independently or in partnership with academic programs, most represent creative consortial initiatives, and all promise digital access. In addition to the two mentioned above, funded projects include:

- "Russian Periodical Index Digital Project," Indiana University ($80,000/year);
- "American Overseas Digital Library," the American Institute for Yemeni Studies, on behalf of the American Overseas Research Centers ($175,000/year);
- "The Digital Asia Library Initiative," the University of Wisconsin, in collaboration with Ohio State University and the University of Minnesota ($175,000/year);
- "Global Window on China," the University of California–Los Angeles ($100,000/year);
- "Central Eurasian Information Resource," the University of Washington ($100,000/year); and
- "Accessing African Scholarly Journals," Michigan State University ($100,000/year).

This new Department of Education program has stimulated the development of projects that bring together librarians and faculty in creative joint undertakings whose goal is exactly consistent with that of the Global Resources Program: to expand access to international resources through the use of new technologies. Thanks to this additional platform for collaboration, new players are entering the game, and efforts that are complementary to those of the Program are suddenly more in evidence. At present, the competition is only triennial, but even in its first year Section 606 has stimulated a

great deal of new thinking around issues of access to global information. This is, of course, all good news for the Global Resources Program, for ARL, and for AAU. The Department of Education's Title VI program has long provided opportunities and support for campus-based language and area training; now, with Section 606, that knowledge is supplemented by long-distance access to resources for research and teaching about the areas, and the development of new technologies to ensure this access.

## From Distributed Collecting to Document Delivery

The initial focus of the Global Resources Program was on cooperative collection development. This is arguably the necessary first step toward a distributed network of interdependent collections, and yet the Program has since shifted focus within some of the regional projects to concentrate on document delivery. At first glance, this would seem to be a major change; however, they are part and parcel of the same theme. For years, at meetings of collection development librarians and other conferences, inadequate document delivery and interlibrary loan capability has been pinpointed as a major obstacle to successful cooperative collection development, whether it be on a relatively small, regional scale, or at the national or North American level. Is it a chicken and egg dilemma? Which comes first, the strong, distributed collections, or the ability to move items around quickly, efficiently, and at low cost? Certainly, to gain faculty acceptance of a distributed collection it is critical to guarantee rapid access to needed materials that are not held locally. And since engaging faculty as supporters of the premises of the Global Resources Program and illustrating for them the potential of structured interdependence are among the Program's original goals, a focus on rapid delivery of the resources they need seems logical. It is important to demonstrate to faculty that the Program and other cooperative collection-building structures will expand access, not decrease it. They are gaining, not losing.

An acute awareness of the importance of building collections cooperatively still characterizes the Program, although several current efforts focus on disseminating information about what is held where rather than on orchestrating firm cooperative agreements. In order to distribute responsibility for collecting, it is important to know who has what, a need that has promoted the development of projects to establish union lists of journals and newspapers, or periodical indexes, for example. Nevertheless, the Program will only achieve its goals and realize its full potential when participants take the difficult steps of redefining collecting policies to focus on local strengths and reallocating resources accordingly, while simultaneously moving toward a more inter-reliant network of research libraries.

An emphasis on cataloging and preservation is inherent in all of the activities of the Global Resources Program. Without attention to rapid and long-term access to the materials that form the core of a distributed collection, the Program goals cannot be met. With collecting responsibility comes a commitment to make specialized materials available as rapidly as possible, as well as a commitment to preserve them.

*The Program will only achieve its goals and realize its full potential when participants take the difficult steps of redefining collecting policies to focus on local strengths and reallocating resources accordingly, while simultaneously moving toward a more inter-reliant network of research libraries.*

## A Next Step: Topical Projects

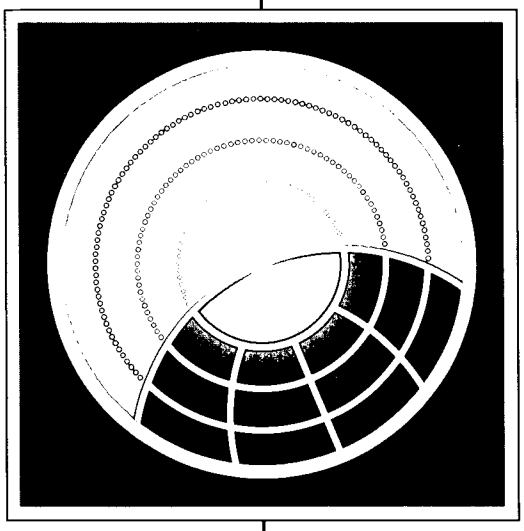
In April 1999, the annual meeting of the American Council of Learned Societies (ACLS) featured a special session on the AAU/ARL Global Resources Program. Executive directors of area studies scholarly associations and delegates to each organization, along with other interested participants, responded to a presentation about the Program and expressed their views on its future development. Comments revealed enthusiasm for the Program's goals and means of achieving them, and conveyed several suggestions, as well. One of these ideas, which was echoed at a June 1999 meeting of the Program's Director with Library of Congress staff, is to devise cross-regional projects that focus on a subject or topic rather than a geographic area. The environment, human rights, migration, popular culture, ethnic studies—these are examples of areas of scholarship with a significant international dimension, in which research requires access to a multiplicity of resources that may be ephemeral, difficult to locate, poorly preserved, and undercollected in North America. A Global Resources project that takes a topical rather than a regional approach would encourage links among library collections that are not based on the traditional area studies model, that span national boundaries, and yet still address the core challenges of the Reed-Scott book and the studies that preceded it.

Such a cross-regional, topically oriented project would benefit scholars who are conducting research on regions with which they were not previously familiar by highlighting resources that are "off the beaten path." It would also facilitate interaction among a wider group of collection development librarians, beyond the area studies specialists. A meeting of librarians and scholars is

being planned for late 1999 to identify and map strategic resource needs for the coming five to ten years and to develop ideas for subject-based global projects.

## A Choice of Models

To meet its broad agenda, the AAU/ARL Global Resources Program has had to select initial projects and areas of concentration carefully. The first three, focused on Germany, Japan, and Latin America, were originally recommended by the AAU Research Libraries Project's Task Force on the Acquisition and Distribution of Foreign Language and Area Studies Materials. Three other projects, on Africa, South Asia, and Southeast Asia, were subsequently proposed by groups of bibliographers and received seed money from the Global Resources Program. Proposals for additional projects are welcome at any time, provided that they are cooperative in nature and offer expanded access to international resources through the use of technology.



The regional projects, though focused very explicitly on a single country or part of the world, are nevertheless paving the way for the development of new models with potential applications beyond the immediate project. Both the German Resources Project and the Japan Journal Access Project are testing international document delivery systems, along with all that such systems entail: interfaces, payment mechanisms, communication among very different libraries, and user acceptance of the model. These projects have also created a new common agenda for collection development and interlibrary loan departments. Similarly, the kind of collecting agreements that are being devised within the "Distributed Resources" component of the Latin Americanist Research Resources Project can be extended to other fields including, perhaps, the sciences. And the table-of-contents database that was established four years ago as the central element of the Latin Americanist project offers lessons for other fields in which the capability to offer unmediated user requests for journal articles is desirable. Furthermore, the table-of-contents database is an example of a value-added function that resulted from new thinking about how to connect users with the materials they need.

The regional projects of the Global Resources Program also present collaborative elements that lend themselves well to emulation in other areas. Partnerships with the Library of Congress and the Center for Research Libraries are basic to the work of the Union List of African Newspapers (ULAN), the Digital South Asia Library, and the Southeast Asian Journals Project. And these projects have counterparts abroad. For example, the digitizing of South Asian materials is being carried out in India by staff at the Roja Muthiah Research Library (Madras) and the Sundarayya Vignana Kendram (Hyderabad), and the Technical Information Access Center (TIAC) in Thailand will play a role in the Southeast Asian project. The Latin American project will expand in collaboration with a bookseller in Bolivia who has created a major library for Andean studies.

There are many nonaffiliated projects underway that bear a relationship to the Global Resources Program, and it is our intention to learn about them, give them visibility, and build connections between them and other related projects, when desirable and appropriate. Similarly, any distributed collection development structure will take advantage of existing consortia and work in progress. Links among libraries and scholars, and the active involvement of faculty in helping to imagine and anticipate future needs, will be critical to the Program's continued success. Just as important will be a practical vision of a new interdependence among libraries.

## The Global Resources Program as Microcosm

Although it has focused on projects that expand access to international research materials, in many cases vernacular resources, the lessons of the Global Resources Program are not limited to the acquisition and distribution of foreign materials. The Program is also raising issues with broader, more general implications. In this way, the Program contains a microcosm of the newest challenges and concerns for research libraries, issues that are not peculiar to area studies. These include, of course, the creation of cooperative structures for collection development and document delivery services that are rapid, efficient, and international. The Program is built on the need to discover ways to stretch budgets so that libraries collectively can offer access to more than they currently do individually.

But in addition to these familiar topics, the Global Resources Program has called into question just what it means to "build a collection." The Program has stimulated new thinking about service to users, especially those who are remote but rely on specialized collections held in our libraries, and has shifted focus to a user-based model

of distributed collection development and away from an emphasis on amassing collections locally. Participation in large-scale collaborative endeavors requires a significant commitment of staff time and energy, and this in turn requires a re-thinking of the collection development librarian's job description. The success of the Global Resources regional projects would have been impossible without the ideas, initiative, and action of a number of area studies librarians. Such energy and creativity will continue to be prerequisites for achieving the goals of multi-institutional collaboration, whether international or not.

## The Transformation of Collection Development

How is "collection development" defined in these days when there is so much emphasis on access, and when information may not even exist at all in a physical form? Within the answer to this critical question lies the key to one of the main challenges facing the Global Resources Program: how to bring about a "behavior change" and to motivate libraries to reallocate funds away from areas that are well collected elsewhere in North American libraries and to capture instead the materials that are being collected sporadically and piecemeal, if at all.

To achieve the goals of the Global Resources Program, and any program based on cooperative collection development, we must view "collections" as a wide array of resources, some held locally but many found elsewhere—even outside North America—and not necessarily in libraries, or in print form. We do not need to own the physical object to consider it part of our "collection." Technology makes it feasible to consider remote collections to be local resources as long as it is reasonably straightforward for users to gain access to these materials. It is apparent that university administrators, faculty, library administrators, and collection development librarians need a new vision for their local library collection, and new ways of measuring its strength as part of a shared North American collection.

It was a major step forward when the instructions for submitting proposals to the U.S. Department of Education's Title VI National Resource Center program were amended to include, in the section documenting the strength of the library, information on access to resources and on cooperative programs instead of just a pure volume count. It is not a simple task to adjust one's sights away from a local focus, away from establishing relative status by counting volumes and expenditures on campus resources. The Global Resources Program forces a redefinition of "collections" if we are to meet the needs of current users of our libraries and anticipate those of future generations.

Bringing about the change in perspective that is necessary for distributed collecting to succeed will require progress in several interconnected areas:

- an understanding on the part of faculty that it is in their long-term interest for their university's library to have an interdependent relationship with other institutions, so that someone, somewhere, is collecting the materials that they, and their colleagues within North America, need;
- the autonomy for collection development librarians to craft cooperative policies that share responsibility for collecting and commit their institutions to a particular set of areas, the will and authority to cancel journals that are widely held elsewhere in favor of more specialized acquisitions in their areas of collecting responsibility, and the political sensitivity to explain these decisions to library users in compelling and convincing terms;
- an acknowledgment of the critical role of document delivery and interlibrary loan in making distributed collections feasible, and a commitment to invest in the redesign of systems of access;
- the necessary determination and support for rapid cataloging of international materials, which will not only make these resources more accessible to users but will also provide bibliographers with important information on holdings that may influence their acquisitions decisions; and
- a firm commitment on the part of library and university administrators to a new vision of interdependent collections, acknowledgment of the benefits of the strategy, and adequate, long-term financial support to continue building and preserving the collections for which their institution has accepted responsibility.

The Latin Americanist Research Resources Project is experimenting with distributed collecting responsibilities through its "Distributed Resources" component, in which each participating institution commits to redirecting a minimum of either $3,000 or 7% of its monographic budget for Latin American materials towards an area of locally established collection strength. By implication, they will rely on other Project libraries for materials they will no longer be acquiring. Participants also agree to catalog these materials rapidly, and make them available through interlibrary loan. Through this effort, which is voluntary (25 of the 43 member libraries have elected to participate thus far, with several others on the verge), the Project has reallocated more than $170,000, thus deepening access within North America and making available difficult-to-acquire materials. Participating bibliographers have confirmed that,

*Continued*

through reallocation, they have been able to acquire items that enrich their local collections in areas of emphasis while also providing access to these materials for users anywhere. In the division of responsibilities among the participating libraries, based on local strengths and local choice, nearly all countries are represented. Thus, the Project is demonstrating broad coverage and balance.

This element of the Latin American project is a significant step towards strengthening North American collections of Latin American publications. The Project has succeeded in large part because it is allowing individual institutions to emphasize local strengths (thereby eliminating the tension between local program needs and national-level commitments) and because it is focusing on materials that do not generally receive high use.

## An Expanded Role for the Bibliographer

An expansion and redefinition of the role of the collection development librarian, or bibliographer, has been underway for some time as the job has required more contact with the public and advanced technological skills. In the Global Resources arena, bibliographers have the opportunity to serve as intellectual leaders in crafting new models for access and new structures for cooperative collection building. Rather than being marginalized, bibliographers have become even more central to the success of complex international projects. They play a visible role in fund raising, including drafting proposals and administering grants. Designing area- and subject-specific projects to address the goals of the Global Resources Program also brings bibliographers together with faculty to think strategically about the variety of future scholarly resource needs. Working with a much broader definition of "collections" than ever before, bibliographers are collaborating with colleagues at other libraries and in other countries to ensure that research libraries are together providing access to the widest range of resources possible. The creation and maintenance of web pages with detailed collection descriptions and links to many other carefully selected and vetted resources is increasingly part of the bibliographer's job. As the Global Resources Program moves toward the identification of a network of lead institutions, bibliographers' knowledge and experience will become even more important.

The Global Resources Program has opened positive new lines of communication within individual libraries as well. The implementation of the regional projects, particularly those with significant document delivery components, encourages a closer relationship between collection development librarians and interlibrary loan staff. ILL librarians are in an excellent position to help identify where there may be gaps in local collections coverage. They are also key players in determining the nature and usefulness of new document delivery mechanisms that are at the core of enhanced access. Additional intra-institutional collaboration will flourish as cross-regional projects are developed, and subject and area studies bibliographers begin to work together to implement and publicize the projects and to evaluate their effectiveness.

*We are already functioning in an interdependent system of access to information, but we have not yet called it by its true name, or developed it in a rational way.*

## Benefits to Researchers and Students

No one would deny that there is a genuine need for expanded access to international materials. Not only do studies confirm the decline in foreign acquisitions within libraries, but anecdotal evidence from scholars shows that they have experienced frustration and sometimes failure in their search for this information. To have seen a work cited or otherwise to identify it and yet not be able to locate or read it can seriously inhibit the research process. This has been a frequent problem in area studies, as faculty and librarians alike are aware, and it will be alleviated by efforts underway within the Global Resources Program. As we move along the path to full implementation, library users will discover that they have more and better access to foreign materials, although not necessarily on their own campuses. The access may be through document delivery from another North American institution, or a library abroad; it may be facilitated by a web gateway directly to the information or to the data source. Whatever the means, the goal is to connect students and researchers with the international resources they need, and to alert them to the existence of other resources of which they were perhaps unaware. The interdependence of collections through distributed responsibility offers a promising antidote to the declining ability of libraries to maintain comprehensive collections of foreign materials to meet the expanding needs of scholars.

One major obstacle remains the inherent conflict between local needs and a commitment to the larger community. It is no secret that this apparent incompatibility of objectives has been the major logjam in the development of truly functional cooperative collection development structures. Reflection on this topic, and on how to fulfill the vision of interdependent collections, leads to a key question: who are our users, and what are our responsibilities to them? If the response is that they are only each university's respective students and faculty, and that the library must develop collections and services strictly to meet their needs, then we are lost. We are lost because

we cannot satisfy all their needs locally. No library can. Excellent collections, efficient service, and easy access are a source of pride for a library and the institution of which it is a part. However, our responsibility to provide these resources extends beyond the walls of a single institution to include researchers from elsewhere in North America and beyond who visit our collections, as well as those remote users who access these resources via the World Wide Web. We are already functioning in an interdependent system of access to information, but we have not yet called it by its true name, or developed it in a rational way. Our local users regularly rely on other repositories, and are accustomed to doing so through a variety of means: interlibrary loan, document delivery, travel to collections, the goodwill of a colleague or librarian. And users at other institutions rely on our resources in the same ways. To sustain an interdependent distributed collection program in the long run, each institutional commitment must lead to expanded access and other benefits for both local and remote library users.

## Conclusion

The impetus of the Global Resources Program is the need to acquire and/or guarantee access to as broad an array of international materials as possible while they are still available. The studies in the Reed-Scott book document in no uncertain terms that collections of foreign-language resources throughout North America have come to resemble each other more and more, as libraries cut back on their acquisitions, particularly of those materials that receive less use (but are nevertheless important research resources). This narrowing of collecting is happening, ironically, just when publishing is increasing worldwide. Primary attention to publications from large cities, major editorial houses, and well-known writers has detracted from our collective ability to provide students and scholars with the full array of resources they need. There is no reason why this pattern of acquisition, which is clearly detrimental to scholarship, need continue in these days of electronic access and a widespread awareness of the benefits of collaboration. The challenge is to move from that point of awareness towards the full implementation of a functional cooperative structure, and to demonstrate to library users what they stand to gain from a distributed system.

It is generally true that a significant percentage of foreign-language materials are not in great demand throughout North America. It is also true that the most successful cooperative collection development agreements have been reached in area studies. Perhaps, just as the issues raised by the Global Resources Program represent a microcosm of the challenges facing research libraries today, the models for cooperation the Program offers can be expanded from foreign-language materials to costlier, high-use collections. The full benefits of the Program will become evident when the means of rapid international document delivery are in place, librarians develop local collections while also focusing on consortial responsibilities, faculty and students experience expanded access first-hand, libraries become more predictably interdependent, and technology has been fully utilized for worldwide access. The road is long, and the goals are ambitious, but the path is open.

*The author would like to acknowledge the contributions of over 20 collection development colleagues, from a variety of ARL institutions, who responded thoughtfully and at length to a set of questions and issues distributed electronically in preparation for this article. Their many insights and ideas were invaluable, and demonstrate once again that the development of future collaborative Global Resources initiatives is in good hands.*

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## THE CRISIS IN LIBRARIES' COLLECTION COVERAGE OF GLOBAL PUBLISHING: AN UPDATE

*North American research libraries' collection coverage of global publishing output, once thought to be comprehensive, is declining. Each year research libraries in the United States and Canada, in the aggregate, are able to purchase a smaller portion of internationally published materials than they did the year before.*

—Jutta Reed-Scott, *Scholarship, Research Libraries, and Global Publishing* (Washington: ARL, 1996)

After three years, the above quotation from the final report of the ARL Foreign Acquisitions Project remains an accurate summary of the fragile state of North American research libraries' efforts to build collections supporting area studies and international education programs. What *has* changed in the interim, however, is how libraries are using technology in cooperative programs to respond to budgetary pressures and reverse the downward spiral of declining foreign acquisitions. This article provides background on two projects that laid the foundation for the AAU/ARL Global Resources Program and highlights the findings of an updated statistical analysis of overseas publishing and North American libraries' acquisition of foreign imprints.

### Background

ARL's Foreign Acquisitions Project began in June 1991 with full support from The Andrew W. Mellon Foundation. The first step for the Project was to develop a clearer understanding of the forces hindering North American research libraries' ability to build and maintain collections of publications produced outside the United States and Canada. The Project found that while nine factors contributed to the problem, at its heart was budgetary pressure. As each institution faced these demands for fiscal retrenchment, a frequent response was to cut back or eliminate less used foreign-language material in favor of English-language resources. The Project set out to explore whether this problem might be alleviated through the smart use of networks and information technology. Were information technologies mature enough to offer unprecedented opportunities for rethinking global resources management and fashioning cooperative strategies to ensure the success of aggregate holdings?

From the outset, the goal of the Foreign Acquisitions Project was to develop recommendations for how libraries could reverse this trend of declining foreign imprints in their collections. It was clear that these recommendations needed to be developed with the active involvement and support of stakeholders from within and beyond the library community. What unfolded during the Project was an exceptionally valuable collaborative process between ARL and the Association of American Universities (AAU). The operation of the AAU Task Force on the Acquisition and Distribution of Foreign Language and Area Studies Materials in 1993–94 provided ARL and AAU a unique opportunity to define new cooperative programs with the involvement of university and research library leadership.

Based on the work and recommendations from the AAU Task Force, ARL in partnership with AAU identified and launched three pilot projects on foreign publications—projects selected for their potential to demonstrate the viability of implementing a program of distributed, networked, coordinated collection management for foreign research materials. In 1996, with additional funding and ongoing interest from the Mellon Foundation, the two associations joined forces to create the AAU/ARL Global Resources Program, described fully in several articles in this issue of *ARL*. The Global Resources Program has sustained the momentum of the original three projects and expanded its geographic reach by scaling up those projects as well as seeding three new initiatives.

### Quantifying Trends in Global Resources

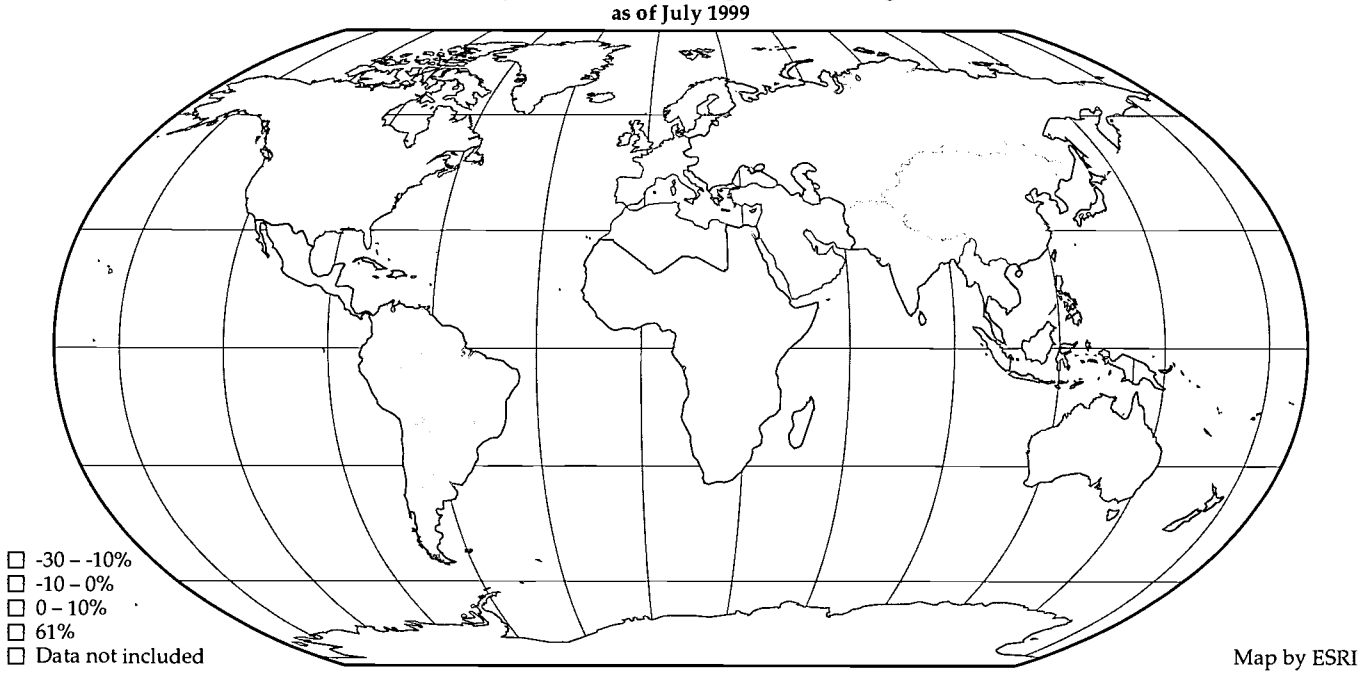
Another dimension of the ARL Foreign Acquisitions Project was data analysis to quantify trends in the availability of foreign resources within North American research libraries. This is not a straightforward task, given the complexities of the environment and the inherent limitations of all available sources of data. With caveats that the data and analysis were neither comprehensive nor definitive, the final report of the ARL Foreign Acquisitions Project highlighted several key indicators in global publishing and in library holdings of titles published overseas. First, world book production outside North America, as reported to UNESCO, was examined for patterns. Second, the OCLC database was analyzed for holdings of foreign imprints in libraries. And third, due to the major acquisition role played by the Library of Congress, the foreign acquisitions of LC were examined.

In preparation for this special issue of *ARL*, the Foreign Acquisitions Project analysis was partially replicated with updated data from UNESCO and OCLC (see accompanying charts for updated representations of this data). The bottom line of the new analysis remains the same as when it was undertaken in 1995—*research libraries' collection coverage of global publishing output is declining*. In addition, some new findings emerged to provide a better sense of how overseas imprints are added to library collections.

One key lesson from the recent data analysis is that a significant number of original foreign titles with older

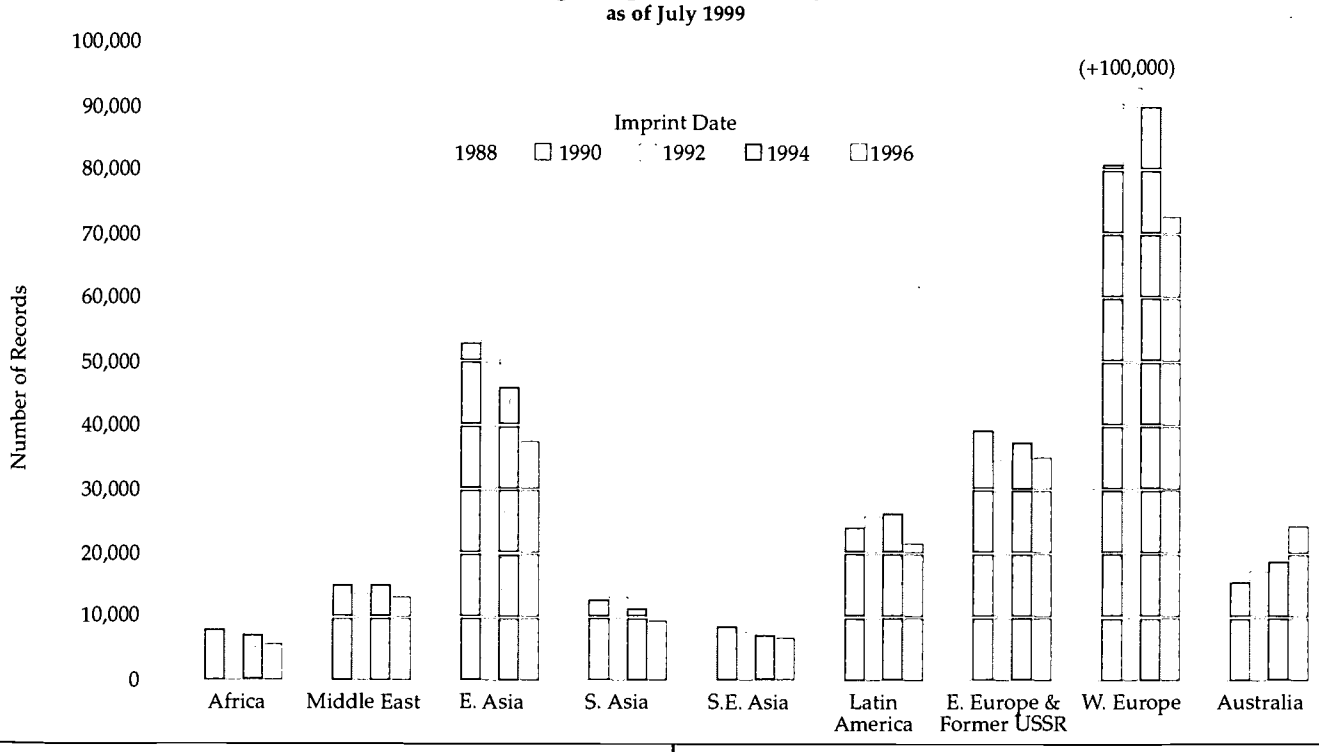
## Change in 1988–1996 Imprints Cataloged

as of July 1999




## Status of Foreign Imprints in Library Collections

as of July 1999




**Source of data, page 9**

In July 1999, the OCLC database was scanned for titles published outside the United States and Canada with imprint dates of 1988–1996. These figures are not comprehensive because they are limited to the library holdings that are contributed to OCLC. Also, they are *not* limited to records from North American research libraries. As OCLC's membership continues to grow internationally, the number of foreign imprint records entered by libraries outside North America will rise, increasing the accessibility of these materials but also making it less reliable as an indicator of library holdings in North America alone. A final caveat about the data from the OCLC database scan—the figures for 1996 should be considered especially low because many of the items with this imprint date are not yet cataloged.

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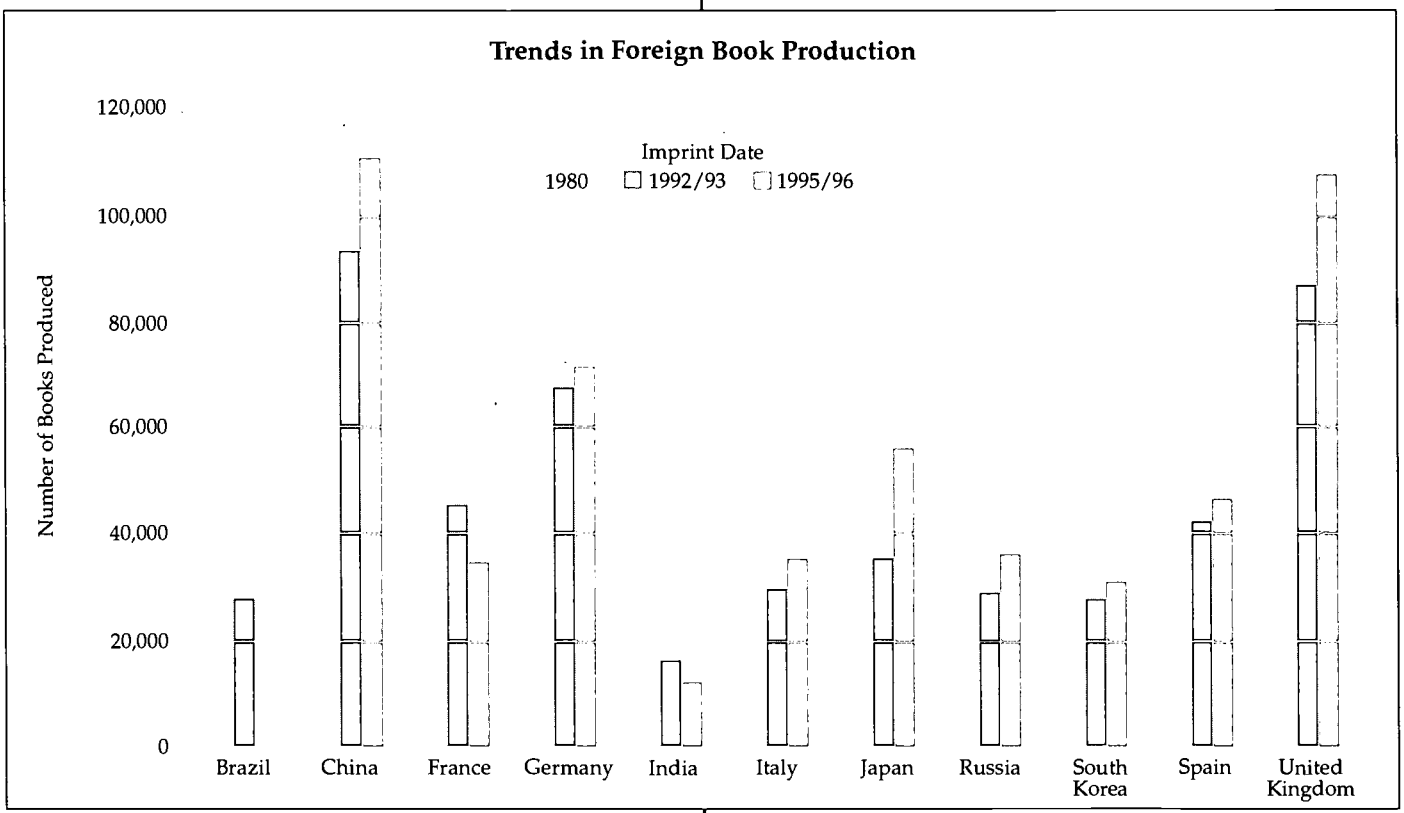
imprint dates are cataloged in OCLC yearly (see charts on page 11). This pattern may be the result of cumulative delays in acquisition, shipment, and processing of foreign materials, as well as backlogs in cataloging. Comparing the results of the 1995 and 1999 analyses of the OCLC database shows that it takes more than five years for many foreign imprint titles to be added to the database.

Another lesson from a comparison of OCLC's 1999 database against the snapshot taken in 1995 is the surprisingly steady level of foreign acquisitions. The decline in foreign acquisitions identified in the earlier data was in great part caused by processing and cataloging delays rather than by reductions in purchases. However, when the new data are compared with the overall book production figures provided by UNESCO, there remains a decline in foreign acquisitions but not in the absolute numbers suggested from the previous data.

The indicators that emerged from the updated statistical analysis substantiate the importance of the goals of the Global Resources Program and the tests of new models that employ technology to maximize the aggregate acquisition budgets for foreign materials. Importantly, the data also flag delayed holdings records for foreign publications as another issue that must be addressed before interdependent collection building is considered a workable substitute for local ownership.




**Trends in Foreign Book Production**

| | Number of Books Produced | | |
|---|---|---|---|
| | **1980** | **1992/93** | **1995/96** |
| Brazil | 16,000 | 27,557 | U/A |
| China | 22,000 | 92,972 | 110,283 |
| France | 25,000 | 45,379 | 34,766 |
| Germany | 69,000 | 67,277 | 71,515 |
| India | 13,000 | 15,778 | 11,903 |
| Italy | 20,000 | 29,351 | 35,236 |
| Japan | 40,000 | 35,496 | 56,221 |
| Russia | U/A | 28,716 | 36,237 |
| South Korea | 22,000 | 27,889 | 30,487 |
| Spain | 27,000 | 41,816 | 46,330 |
| United Kingdom | 50,000 | 86,573 | 107,263 |

U/A = unavailable

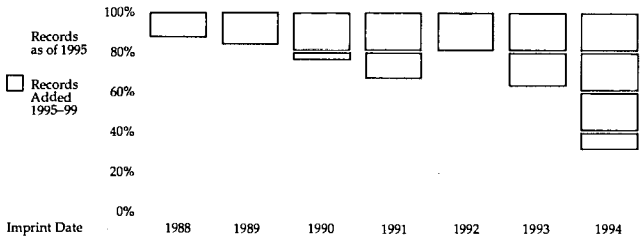
**About the data source, page 10**
The *UNESCO Statistical Yearbook* presents the most comprehensive data on international book output, but the listings are at times incomplete, the figures do not distinguish between research and non-research materials, and they include all published titles. They are, however, indicative of the growth in publishing worldwide and are included here to demonstrate general trends in some of the largest book-producing countries.

**About the charts, page 11**
The following charts compare the 1995 and 1999 analyses of the OCLC database, which calculated libraries' holdings of non-North American titles published between 1988 and 1994. The charts demonstrate that a significant number of original foreign titles with older imprint dates are cataloged in OCLC yearly.

*All charts were produced by the ARL Statistics and Measurement Program.*

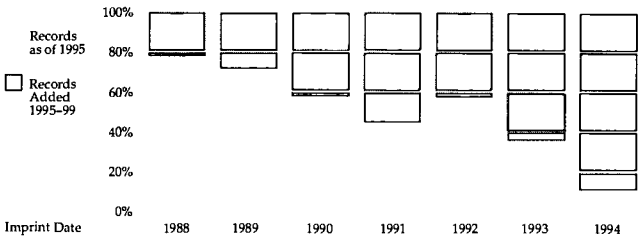
*Map on page 9 produced by the ESRI Schools and Libraries Program.*

## Trends in Cataloging Foreign Imprints in Library Collections



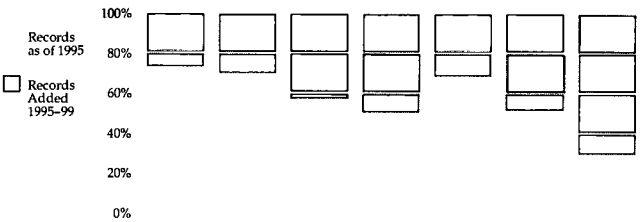

| Imprint Date | 1988 | 1989 | 1990 | 1991 | 1992 | 1993 | 1994 |
|---|---|---|---|---|---|---|---|
| Records as of 1995 | 290,549 | 282,141 | 268,984 | 244,143 | 293,961 | 222,921 | 114,382 |
| Records Added 1995–99 | 43,347 | 55,153 | 85,736 | 120,819 | 70,223 | 132,978 | 242,680 |

## Trends in Cataloging African Imprints



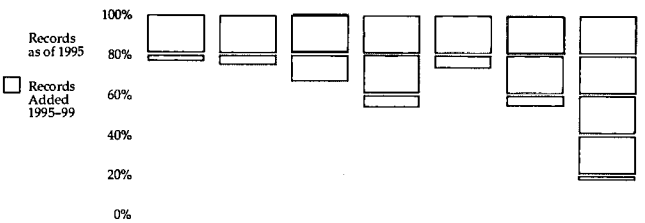

| Imprint Date | 1988 | 1989 | 1990 | 1991 | 1992 | 1993 | 1994 |
|---|---|---|---|---|---|---|---|
| Records as of 1995 | 6,025 | 5,534 | 4,638 | 3,450 | 4,385 | 2,551 | 738 |
| Records Added 1995–99 | 1,712 | 2,192 | 3,300 | 4,230 | 3,251 | 4,585 | 6,220 |

## Trends in Cataloging Middle Eastern Imprints



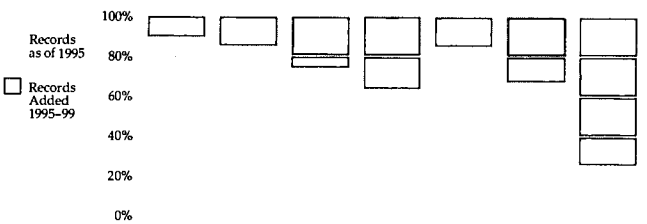

| Imprint Date | 1988 | 1989 | 1990 | 1991 | 1992 | 1993 | 1994 |
|---|---|---|---|---|---|---|---|
| Records as of 1995 | 9,431 | 8,478 | 8,356 | 6,407 | 9,343 | 7,342 | 4,333 |
| Records Added 1995–99 | 3,319 | 3,521 | 6,317 | 6,288 | 4,151 | 6,975 | 10,344 |

## Trends in Cataloging E. Asian Imprints



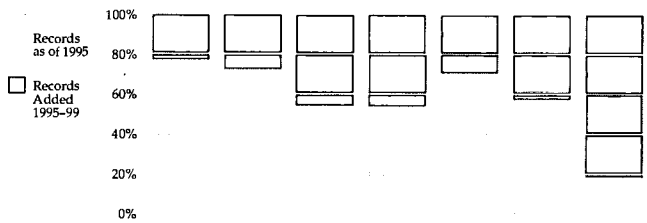

| Imprint Date | 1988 | 1989 | 1990 | 1991 | 1992 | 1993 | 1994 |
|---|---|---|---|---|---|---|---|
| Records as of 1995 | 38,373 | 37,933 | 35,148 | 28,919 | 38,788 | 26,170 | 8,104 |
| Records Added 1995–99 | 11,668 | 12,620 | 17,527 | 25,521 | 14,061 | 22,213 | 37,581 |

## Trends in Cataloging S. Asian Imprints



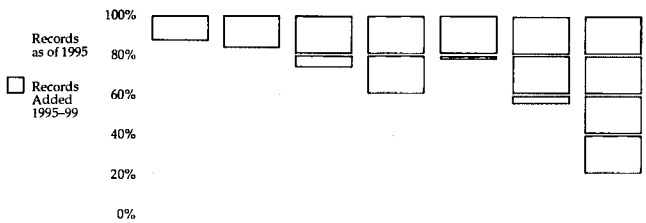

| Imprint Date | 1988 | 1989 | 1990 | 1991 | 1992 | 1993 | 1994 |
|---|---|---|---|---|---|---|---|
| Records as of 1995 | 10,862 | 10,511 | 9,466 | 7,831 | 11,116 | 7,354 | 2,846 |
| Records Added 1995–99 | 1,184 | 1,806 | 3,239 | 4,432 | 1,905 | 3,623 | 8,160 |

## Trends in Cataloging S. E. Asian Imprints



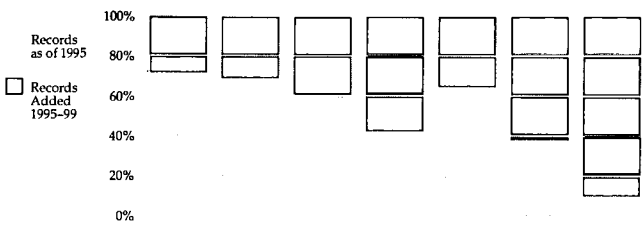

| Imprint Date | 1988 | 1989 | 1990 | 1991 | 1992 | 1993 | 1994 |
|---|---|---|---|---|---|---|---|
| Records as of 1995 | 5,223 | 5,176 | 4,447 | 4,229 | 5,422 | 4,355 | 1,394 |
| Records Added 1995–99 | 1,593 | 1,942 | 3,756 | 3,622 | 2,249 | 3,196 | 5,774 |

## Trends in Cataloging Latin American Imprints



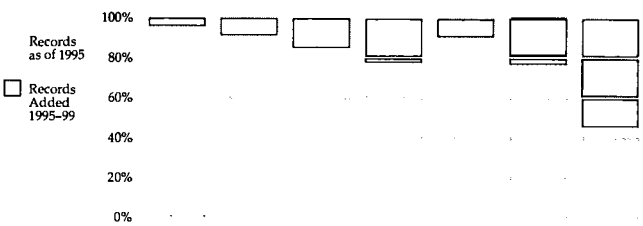

| Imprint Date | 1988 | 1989 | 1990 | 1991 | 1992 | 1993 | 1994 |
|---|---|---|---|---|---|---|---|
| Records as of 1995 | 22,072 | 19,935 | 17,636 | 14,544 | 19,990 | 13,692 | 5,252 |
| Records Added 1995–99 | 3,260 | 3,961 | 6,272 | 9,403 | 5,523 | 11,032 | 20,579 |

## Trends in Cataloging E. European and Former USSR Imprints



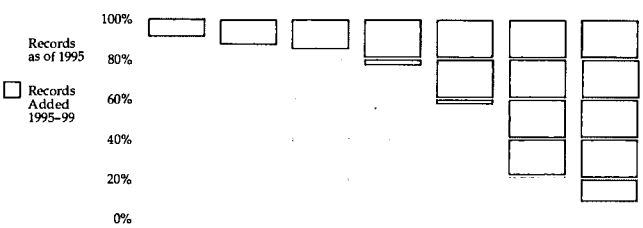

| Imprint Date | 1988 | 1989 | 1990 | 1991 | 1992 | 1993 | 1994 |
|---|---|---|---|---|---|---|---|
| Records as of 1995 | 28,118 | 26,592 | 23,517 | 15,689 | 22,223 | 14,647 | 3,936 |
| Records Added 1995–99 | 11,252 | 11,871 | 15,679 | 21,190 | 12,156 | 22,527 | 33,498 |

## Trends in Cataloging W. European Imprints




| Imprint Date | 1988 | 1989 | 1990 | 1991 | 1992 | 1993 | 1994 |
|---|---|---|---|---|---|---|---|
| Records as of 1995 | 156,659 | 156,004 | 152,948 | 151,601 | 172,795 | 142,928 | 86,219 |
| Records Added 1995–99 | 8,028 | 15,516 | 27,347 | 42,649 | 19,556 | 44,896 | 103,432 |

## Trends in Cataloging Australian Imprints




| Imprint Date | 1988 | 1989 | 1990 | 1991 | 1992 | 1993 | 1994 |
|---|---|---|---|---|---|---|---|
| Records as of 1995 | 13,786 | 11,978 | 12,828 | 11,473 | 9,899 | 3,882 | 1,560 |
| Records Added 1995–99 | 1,331 | 1,724 | 2,299 | 3,484 | 7,371 | 13,931 | 17,092 |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*Editor's Note: The next two articles in this special issue showcase the six AAU/ARL Global Resources Program Regional Projects as well as the libraries worldwide that are participating in these initiatives. The project descriptions are followed by an overview of selected international library programs that work with the Global Resources Program to strengthen scholarly access to global resources.*

# AAU/ARL GRP REGIONAL PROJECTS

## The Southeast Asian Journals Project

Cornell University, the University of Wisconsin, the University of Washington, and the Technical Information Access Center (TIAC) in Bangkok are implementing a collaborative indexing project for Southeast Asian journals on behalf of the Committee on Research Materials on Southeast Asia (CORMOSEA). Funding from the AAU/ARL Global Resources Program will allow these partners to enhance the indexing strength of the online *Bibliography of Asian Studies* for coverage of the 1970s—when indexing was weak—and to add retrospective indexing of colonial-era journals published in English, French, and Dutch.

Furthermore, the Project participants will establish a pilot project, based at the University of Washington, to index Thai journal literature. This pilot database will be searchable on English-language index terms and transliterated Thai names. It will also include images of the partial text of each article, which will allow users to view the original Thai text in the vernacular script. Articles will be scanned and indexed at University of Wisconsin, University of Washington, and TIAC. The Center for Research Libraries (CRL) will scan additional articles from journals being collected under the National Cooperative Thai Program. Project participants will index the articles scanned by CRL. TIAC will contribute scanned images and indexing for government serials that are not being received by a U.S. institution.

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Library of Congress
University of Michigan
Northern Illinois University
Ohio University
University of Washington
University of Wisconsin–Madison
Yale University

For more information, contact:

Judith Henchy
Head, Southeast Asia Section
Box 352900
University of Washington Libraries
Seattle, WA 98195
Phone: (206) 543-3986
Fax: (206) 685-8049
Email: <judithh@u.washington.edu>

## The Union List of African Newspapers

The Africana Librarians Council of the African Studies Association (ALC/ASA) and the Cooperative Africana Microform Project (CAMP) of the Center for Research Libraries (CRL) have initiated a project to create an electronic union list of Sub-Saharan African newspaper holdings. The Union List of African Newspapers (ULAN), a product of ALC/ASA and CAMP's Cooperative African Newspapers Project, will be accessible to researchers worldwide via the CRL website. ULAN will include newspapers published in Sub-Saharan Africa in any format or language. Initially, the project will consolidate holdings information for collections in the United States, but will later expand to include holdings in Africa, Europe, and elsewhere. ULAN will meet scholarly and research needs by providing greatly enhanced access to African newspapers. The AAU/ARL Global Resources Program provided initial funding for this project.

Representatives of ULAN institutions first convened in Chicago on 30 October 1998 during the annual meeting of the African Studies Association. At that time, the overarching goal of the project was reviewed and short-term priorities were established. David Easterbrook, Curator, Melville J. Herskovits Library of African Studies, agreed to chair the project for the Africana Libraries Council. James Simon, CRL Program Officer for Area Studies, will manage CRL's role in ULAN. Software has been selected, a project discussion list has been established, and the ULAN web page has been created. Visit the ULAN website at <http://wwwcrl.uchicago.edu/info/camp/ulan.htm>. For a draft ULAN search screen, see <http://wwwcrl.uchicago.edu/info/camp/ulanform.htm>.

Libraries participating in ULAN:

Boston University
University of California–Berkeley
University of California–Los Angeles
Center for Research Libraries
Columbia University
Hoover Institution, Stanford University
University of Illinois at Urbana-Champaign
Indiana University
University of Kansas
Library of Congress
Michigan State University
New York Public Library
Northwestern University
Ohio State University
Ohio University

Further information about ULAN is available from:

David L. Easterbrook, Curator
Melville J. Herskovits Library of African Studies
Northwestern University
1935 Sheridan Rd.
Evanston, IL 60208-2300
Phone: (847) 491-4549
Fax: (847) 467-1233
Email: <dleaster@nwu.edu>

## The Digital South Asia Library

The Digital South Asia Library (DSAL) is developing an Internet-based infrastructure for electronic document delivery between North American and selected South Asian libraries. The project is indexing journals and creating finding aids and other reference materials to improve access to scholarly resources, first in English, Tamil, and Urdu. Direct delivery of scanned articles will allow scholars to consult these rare publications without traveling to the South Asian subcontinent. Indexing and scanning are currently taking place in partner libraries in Madras and Hyderabad, India.

The AAU/ARL Global Resources Program provided initial funding for the DSAL. The project recently received additional funding of $540,000 for three years from the U.S. Department of Education's Section 606 program.

Project activities include:

- electronic indexing of 38,000 articles in Tamil journals, 38,000 articles in Urdu journals, and 4,750 English-language journal articles—all from the nineteenth and twentieth centuries;
- creating electronic full-text versions of three classic nineteenth-century South Asia reference books printed in roman characters;
- creating electronic full-text versions of five titles selected from the Official Publications of India;
- providing global access to the project's new electronic resources via the Web; and
- furnishing online information about contemporary and historical South Asia, including full-text documents, statistics, digital images, maps, and pedagogical resources for language instruction, all funded by the U.S. Department of Education.

In the future, the project will expand to include a library in Nepal.

Building on earlier support from the Global Resources Program, the University of Chicago, Columbia University, and the Triangle South Asia Consortium in North Carolina (Tri-SAC) received an additional grant from the U.S. Department of Education for a three-year project to create and disseminate electronic dictionaries. At least one multilingual dictionary will be selected for each of the 26 modern literary languages of South Asia. The dictionaries will be digitized and made available to readers by means of a searchable website, file transfer protocol, or compact disc.

Additionally, the University of Chicago, Columbia University, and the Center for Research Libraries have agreed to incorporate a tax-exempt overseas center for South Asian libraries. This center will facilitate scholarly research on South Asia in all academic disciplines through improved preservation of and access to the manuscript, print, and electronic heritage of India, Pakistan, Bangladesh, Nepal, and Sri Lanka.

Lead institutions in the Digital South Asia Library are the University of Chicago Library, Columbia University Libraries, and the Center for Research Libraries, in partnership with the Roja Muthiah Research Library (Madras) and the Sundarayya Vignana Kendram (Hyderabad). Other participating libraries are the members of the South Asia Microform Project (SAMP), and—a subset of SAMP members—the members of the Urdu Research Library Consortium (indicated with an asterisk below).

Project participants:

University of British Columbia
University of California–Berkeley*
University of California–Los Angeles
University of Chicago*
University of Colorado
Columbia University*
Cornell University
Duke University
Florida State University
Harvard University*
University of Hawaii
University of Illinois at Urbana-Champaign
University of Iowa
Kansas State University
Library of Congress
University of Michigan*
University of Minnesota*
University of Missouri
New York Public Library
University of North Carolina at Chapel Hill
North Carolina State University
Ohio State University
University of Pennsylvania*
Syracuse University
University of Texas at Austin*
University of Toronto
University of Virginia
University of Washington*
University of Wisconsin*

For more information about the DSAL, see <http://www.lib.uchicago.edu/LibInfo/Subjects/SouthAsia/dsal.html>, or contact:

David Magier
Director, Area Studies
South Asia Librarian
Columbia University Libraries
535 West 114th Street
New York, NY 10027-7029
Phone: (212) 854-8046
Fax: (212) 854-3834
Email: <magier@columbia.edu>

James Nye
Bibliographer for Southern Asia
The University of Chicago Library
1100 East 57th Street
Chicago, IL 60637
Phone: (773) 702-8430
Fax: (773) 753-0569
Email: <jnye@midway.uchicago.edu>

## The German Resources Project

The German Resources Project focuses on improving access to German-language materials for scholars in North America and fosters closer collaboration between North American and German research libraries, particularly in resource sharing and the development of digital collections. This project was among the three original pilots of the AAU/ARL Global Resources Program, and has received additional funding from The Andrew W. Mellon Foundation to bring together librarians from participating libraries in North America with their colleagues in Germany. In a series of meetings at the Library of Congress and the University of Göttingen, Project participants established an agenda and four working groups.

The Project's action agenda includes creating a formal system of document delivery between German and North American libraries; harmonizing cataloging rules; coordinating standards for metadata development; providing new collection development tools; and fostering collaborative digital library projects. The four areas addressed by the working groups are document delivery, digital libraries, bibliographic control, and collection development.

The document delivery component of the Project relies on GBVdirekt/North America, a powerful and innovative document delivery service. (See <http://www.gbv.de/direkt/NA/frameset.htm>). Librarians in the U.S. and Germany have developed and tested a North American web interface and accounting structure for the document delivery system of the Gemeinsame Bibliotheksverbund (GBV), a consortium of German academic libraries. A search interface makes the holdings of many German academic and state libraries accessible and allows electronic ordering of multiple articles in a single session, transmitting each request directly to the appropriate library. The supplying library scans the article and sends the resulting image file as an email attachment to the requesting library, usually within 48 hours. The typical cost is $10 for a document of up to 20 pages. GBV and ARL jointly manage deposit accounts for North American libraries and ARL administers billing.

The Digital Libraries Working Group (DLWG) is establishing a clearinghouse for digital projects and project proposals. The clearinghouse will foster a wide variety of digital library endeavors and bring them under the aegis of the German Resources Project, while leaving the initiative for individual undertakings with the institutions involved. One of the goals of the clearinghouse is to attract a variety of funding sources to Project efforts. A prototype clearinghouse is expected to be available on the Web on 15 October 1999.

The Bibliographic Control Working Group (BCWG) has developed two projects designed to improve the sense of community among Germanist catalogers in ARL libraries. The first project will result in the publication of an online directory of Germanist catalogers. By the end of fall 1999, the Working Group will document Germanist bibliographic control specialists at Project libraries. Subsequent participation in this directory will be solicited on relevant email lists. The second community-building project of the BCWG will create a web-based, annotated list of recommended German cataloging resources. This toolkit will include, but not be limited to, electronic resources and will be available winter 1999–2000. In addition to these two projects, the BCWG is preparing a German translation of AACR2.

The Collection Development Working Group (CDWG) has created a prototype for identifying strong German studies collections among Project libraries. The goal of this initiative is to improve awareness of German studies resources currently available in North America and to facilitate future cooperative collection development. The prototype includes contact and collection strength information on 15–20 Project libraries that are of particular interest to German institutions. This information will be added to the German WEBIS website <http://webis.sub.uni-hamburg.de/>, which lists German research libraries with special collecting focuses, thereby creating a virtual meeting place for subject specialists on both sides of the Atlantic.

Participating libraries:

University of Adelaide
University of Alabama
University of Arizona
Bowdoin College
Brigham Young University
Brown University
University of California–Berkeley
University of California–Riverside
University of California–Santa Barbara
University of Chicago
University of Cincinnati
Cornell University
Duke University
Georgetown University
Georgia University
Harvard University
Southern Illinois University
University of Illinois
Indiana University
University of Kansas
Library of Congress
Michigan State University
University of Michigan
University of Minnesota
New York Public Library
New York University
North Carolina State University
University of North Carolina
Northwestern University
Ohio State University
Pennsylvania State University
University of Pennsylvania
State University of New York at Albany
Texas Tech University
University of Toronto
University of Virginia
University of Washington
University of Waterloo
University of Wisconsin

German partners:

Stadt- und Universitätsbibliothek, Frankfurt/Main
Staats- und Universitätsbibliothek, Hamburg
Niedersächsische Staats- und Universitätsbibliothek, Göttingen
Bayerische Staatsbibliothek

The German Resources Project website is available at <http://lcweb.loc.gov/loc/german/>. For more information, contact the Project co-chairs:

Lou Pitschmann
Associate Director for Collection Development and Management
General Library System
University of Wisconsin
Madison, WI 53706-2754
Phone: (608) 262-2795
Fax: (608) 265-2754
Email: <alap@macc.wisc.edu>

John Van Oudenaren
Chief, European Division
The Library of Congress
Washington, DC 20540-4830
Phone: (202) 707-4543
Fax: (202) 707-8482
Email: <jvou@loc.gov>

## The Japan Journal Access Project

The Japan Journal Access Project seeks to expand access to research materials published in Japan and to coordinate Japanese collection development activities in North American libraries. The initial focus is on Japanese serials and newspapers. The National Coordinating Committee on Japanese Library Resources (NCC) is a key cosponsor of this AAU/ARL Global Resources Program project, which has four major activities:

### Union List of Japanese Serials and Newspapers

The Union List of Japanese Serials and Newspapers (ULJSN) is part of the East Asian Libraries Cooperative's Japanese Journal Information Web, a website developed by the Ohio State University Libraries Japanese Collection for the AAU/ARL/NCC Japan Journal Access Project with supplemental funding from the Japan-United States Friendship Commission and Honda R + D Americas, Inc. The goal of the ULJSN is to include all of the approximately 10,000 Japanese serial and newspaper titles held by North American libraries. As of July 1999, the Union List included nearly 6,000 titles and detailed holdings of 25 libraries, as well as URLs for those items that are available on the Web. Ohio State is exploring how the ULJSN may link via Z39.50 to the online catalogs of libraries that own the listed titles for up-to-date holdings information.

### The Japanese Journal Current Awareness Project

The Japanese Journal Current Awareness Project (JJCAP), introduced in early 1999, is a web-based service that permits users to browse the contents of 89 Japanese journals and magazines included in the Union List of Japanese Serials and Newspapers. The newest component of the Japanese Journal Information Web, the still-experimental browsing service permits users to search by title or subject in English or Japanese. The site presents an alphabetical list of all titles or pre-selected lists of titles covering history, language, and literature. The service also permits users to mark titles to receive email notification when new issues are added.

### Document Delivery with Waseda University

Waseda University Library, a large private university in Tokyo, and 18 North American Project members are engaged in a yearlong pilot to test the use of OCLC for interlibrary loan. The pilot began in November 1998. Requests are transmitted via the OCLC ILL system, and participants are invoicing with the OCLC ILL Fee Management service to avoid the expense of converting currency. Returnables are sent by airmail; copies via Ariel.

### Document Delivery with the Association of National University Libraries (ANUL)

In conjunction with the NCC, the Project has embarked on a second document delivery project—this one with seven libraries in Japanese public universities. This nine-month project is limited to non-returnable copies of journal articles and book chapters.

Participating libraries:

University of Arizona*
Brigham Young University
University of California–Berkeley* #
University of California–Los Angeles
University of California–San Diego*
University of California–Santa Barbara
Center for Research Libraries*
University of Chicago #
University of Colorado at Boulder*
Columbia University* #
Cornell University*
Duke University* #
University of Florida*
Harvard University #
University of Hawaii*
Hoover Institution, Stanford University
University of Illinois at Urbana-Champaign*
Indiana University
University of Kansas
Library of Congress*
Linda Hall Library
Massachusetts Institute of Technology
University of Massachusetts
University of Michigan
New York Public Library
North Carolina State University #
Ohio State University*
University of Oregon* #
University of Pennsylvania
University of Pittsburgh* #
University of Texas #
University of Toronto*
University of Washington #
Washington University, St. Louis*
Yale University*

* = Waseda Document Delivery Project participant
# = ANUL Pilot Project participant

For more information, see <http://pears.lib.ohio-state.edu/>, or contact:

Mary E. Jackson
Senior Program Officer for Access Services
Association of Research Libraries
21 Dupont Circle
Washington, DC 20036
Phone: (202) 296-2296
Fax: (202) 872-0884
Email: <mary@arl.org>

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## Latin Americanist Research Resources Project

The Latin Americanist Research Resources Project is a cooperative initiative to expand the range of research materials available to Latin Americanist scholars and students, and to enhance access to these resources by distributing them via the Web. Forty-three libraries are Project members, including the Felipe Herrera Library of the Inter-American Development Bank, the first non-ARL library to join. The expansion of the Project to Latin American institutional partners will be supported by a $300,000 U.S. Department of Education Title VI, Section 606, grant awarded to the University of Texas at Austin General Libraries.

As one of the original pilot projects of the AAU/ARL Global Resources Program, the Latin Americanist Research Resources Project emphasizes the development of cooperative models for improving access to resources produced in Latin America while containing costs. The Andrew W. Mellon Foundation provided initial funding for the Project; contributions from the participating libraries have matched and surpassed that funding. The Project consists of three components:

### Journals Table-of-Contents Database

The Journals Table-of-Contents Database contains information on more than 65,000 articles in over 400 journals from Argentina, Brazil, and Mexico. Coverage will soon be expanded to include journals from other Latin American countries. Most of the journals covered by the Database are not indexed in any other source. Participating libraries share distributed responsibility for collecting the journals and for entering the tables of contents for assigned journals into the Database using a web template. Hosted by the University of Texas at Austin's Latin American Network Information Center (UT-LANIC), the Database provides unlicensed, keyword access to journal tables of contents. Additionally, users at participating institutions may electronically request photocopies of the articles indexed in the Database. Search the Database at <http://www.lanic.utexas.edu/project/arl/>.

### Distributed Resources

The Distributed Resources component of the Latin Americanist Research Resources Project is aimed at strengthening the collective coverage of monographs and other resources produced in Latin America. Twenty-five participating libraries have agreed to commit at least seven percent of their Latin American monographic budgets to this effort. Each library reallocates its funds to augment the existing base for an assigned collecting area of local emphasis. These fields are selected by the individual participants, but contribute to an interconnected network of assignments that together provide enhanced coverage for "non-core" materials for the entire Latin American region. The total reallocated amount has now surpassed $170,000 per year. All participating libraries provide online bibliographic records as quickly as possible, and also make the majority of these materials available through interlibrary loan.

### Presidential Messages

The complete texts of Argentine and Mexican presidential messages are available in an image database hosted by UT-LANIC. The Project funded the digitization of the presidential messages by OCLC's Preservation Resources. View the presidential messages at <http://www.lanic.utexas.edu/project/arl/pm/sample2/>.

Latin Americanist Research Resources Project participants (Distributed Resources component participants noted with an asterisk):

University of Arizona*
Brigham Young University*
University of California–Berkeley*
University of California–Los Angeles*
University of California–San Diego*
University of California–Santa Barbara
Center for Research Libraries
Columbia University
University of Connecticut
Cornell University*
Dartmouth College
Duke University*
University of Florida*
Harvard University (Harvard College Library) *
University of Illinois at Urbana-Champaign
Indiana University
Inter-American Development Bank, Felipe Herrera Library*
University of Kansas*
Library of Congress
University of Miami*
Michigan State University
University of Minnesota
National Agricultural Library
University of New Mexico*
New York Public Library*
New York University*
University of North Carolina
University of Notre Dame*
Ohio State University*
Ohio University
University of Pennsylvania*
University of Pittsburgh*
Princeton University*
Rice University
University of Southern California*
Stanford University
Syracuse University*
University of Texas
University of Toronto
Tulane University*
Vanderbilt University*
University of Wisconsin
Yale University*

For further background on the Latin Americanist Research Resources Project, see Dan Hazen's article, "The Latin Americanist Research Resources Project: A New Direction for Monographic Cooperation?" in *ARL* no. 191 (Apr. 1997): 1–6, also available at <http://www.arl.org/newsltr/191/latin.html>.

For more information, contact:

Eudora Loh
Chair, Project Advisory Committee
Latin American and Iberian Bibliographer
Charles E. Young Research Library
Box 951575
University of California–Los Angeles
Los Angeles, CA 90095-1575
Phone: (310) 825-1125
Fax: (310) 206-4974
Email: <eloh@library.ucla.edu>

# International Library Programs

## The Library of Congress Overseas Offices

The Library of Congress acquires materials from around the world in all formats—books, periodicals, maps, music, prints, photographs, recorded sound, videos, etc.—and in nearly all subjects for its universal collection of human knowledge. The Library's collections now total more than 108 million items.

Since 1962, the Library of Congress has maintained its Overseas Offices to acquire, catalog, preserve, and distribute library and research materials from countries where such materials are unavailable through conventional acquisitions methods. These materials are distributed to other libraries and institutions through the Cooperative Acquisitions Programs (CAP). Thanks to nearly 40 years of participation in CAP, many U.S. academic libraries have developed unparalleled collections that support advanced research on developing countries. In fiscal year 1998, the Library supplied more than 400,000 individual publications to 81 higher education institutions in the U.S. and 10 academic institutions abroad.

Between 1962 and 1986, 23 Overseas Offices were funded by Congress; all but six have been closed because they are no longer needed. Those six offices continue operating in Cairo, Egypt; Islamabad, Pakistan; Jakarta, Indonesia; Nairobi, Kenya; New Delhi, India; and Rio de Janeiro, Brazil. MARC records are prepared for materials acquired by all of the foreign offices, and two offices—the New Delhi office and the Jakarta office—maintain large-scale micrographics operations for preservation microfilming.

**The Library of Congress Office in Cairo:**

- acquires materials from Algeria, Bahrain, Cyprus, Egypt, Gaza, Iraq, Jordan, Kuwait, Lebanon, Libya, Malta, Mauritania, Morocco, Oman, Qatar, Saudi Arabia, Sudan, Syria, Tunisia, Turkey, United Arab Emirates, West Bank, and Yemen;
- acquired 4,694 items for LC in FY98; and
- acquired 7,505 items for CAP participants in FY98.

**The Library of Congress Office in Islamabad:**

- acquires materials from Afghanistan, Iran, and Pakistan;
- acquired 19,156 items for LC in FY98; and
- acquired 52,914 items for CAP participants in FY98.

**The Library of Congress Office in Jakarta:**

- acquires materials from Brunei, Cambodia, Indonesia, Laos, Malaysia, Philippines, Singapore, Thailand, and Vietnam;
- acquired 48,478 items for LC in FY98;
- acquired 72,281 items for CAP participants in FY98; and
- participates in the AAU/ARL Global Resources Program's Southeast Asian Journals Project.

**The Library of Congress Office in Nairobi:**

- acquires materials from Angola, Botswana, Burundi, Cameroon, Comoros, Congo (Kinshasa), Djibouti, Eritrea, Ethiopia, Gabon, Ghana, Kenya, Lesotho, Madagascar, Malawi, Mauritius, Mozambique, Namibia, Reunion, Rwanda, Senegal, Seychelles, Somalia, Swaziland, Tanzania, Uganda, Zambia, and Zimbabwe;
- acquired 44,975 items for LC in FY98;
- acquired 55,116 items for CAP participants in FY98; and
- participates in the AAU/ARL Global Resources Program's Union List of African Newspapers project.

**The Library of Congress Office in New Delhi:**

- acquires materials from Bangladesh, Bhutan, Burma, India, Maldives, Nepal, and Sri Lanka, as well as Mongolian and Tibetan materials published in several Asian countries;
- acquired 69,191 items for LC in FY98;
- acquired 197,096 items for CAP participants in FY98; and
- participates in the AAU/ARL Global Resources Program's Digital South Asia Library project.

**The Library of Congress Office in Rio de Janeiro:**

- acquires materials from Brazil, Guyana, Suriname, and Uruguay;
- acquired 22,323 items for LC in FY98;
- acquired 34,457 items for CAP participants in FY98; and
- participates in the AAU/ARL Global Resources Program's Latin Americanist Research Resources Project.

For more information about the Library of Congress Overseas Offices, see <http://lcweb.loc.gov/acq/ovop/>.

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## The International Coalition on Newspapers

American and British libraries began facing problems of crisis proportions concerning domestic newspapers in the 1950s, which resulted in the formation of the United States Newspaper Project (USNP) in the U.S. and NEWSPLAN in Great Britain. The library community now confronts an even larger-scale crisis with foreign newspapers held in major research libraries in the U.S. and abroad. Problems range from difficult access and dismal bibliographic control to challenges of storage and preservation of these materials.

The International Coalition on Newspapers (ICON) was conceived to address this foreign newspaper crisis in libraries around the world. ICON is a multi-institutional cooperative effort to increase the availability of foreign newspaper collections by improving both bibliographic and physical access to these resources, and to preserve global cultural heritage through preservation of foreign newspaper collections held in the United States and abroad. ICON's goals are international, collaborative, long-term, and multiphased.

The Center for Research Libraries (CRL), acting as the managing institution for ICON, has begun implementing a strategic plan for this cooperative effort. One of the first priorities for ICON is the development of a Union List of International Newspapers, to be designed and maintained by OCLC. The initial Union List will contain over 25,000 records of foreign newspapers held by charter members of ICON, and will continue to expand over time.

Simultaneously, ICON is employing a flexible cooperative model to prepare several pilot preservation projects of foreign newspaper titles. Using the Union List as a tool for prioritization and selection, ICON will identify titles in need of preservation and pursue funding opportunities towards this aim.

CRL will be inviting a core group of institutions with notable collections of foreign newspapers to become charter ICON members and take part in project activities, and would welcome inquiries about participation from interested institutions. ICON will also seek the involvement of key sectors of the information community: academic institutions, research and national libraries, scholarly and professional societies, commercial publishers and micropublishers, and funding agencies.

For more information on ICON and its activities, please visit <http://wwwcrl.uchicago.edu/info/icon/icon.htm>, or contact:

Milton T. Wolf
Senior Vice President for Collection Programs
The Center for Research Libraries
6050 South Kenwood Avenue
Chicago, IL 60637-2804
Phone: (773) 955-4545 x334
Fax: (773) 955-4339
Email: <wolf@crlmail.uchicago.edu>

## Gateway Service Center For Chinese Academic Journals

In October 1998, the University of Pittsburgh East Asian Library launched a demonstration Gateway Service Center for Chinese Academic Journal Publications. The Center established and maintains the first global resource sharing and document delivery service between U.S. and Chinese libraries. It delivers digital copies of Chinese-language academic journal articles from six Chinese libraries, via the Internet, to scholars throughout the United States. Through the Center, American library patrons have free and easy access to Chinese-language journal articles otherwise unavailable to them. The project was funded by the United States Institute for Museum and Library Services (ILMS) through its 1998–2000 National Leadership Grant. Because the program is underwritten by the federal grant, U.S. scholars can use the service free of charge. In 1997, the Chiang Ching-kuo Foundation for International Scholarly Exchange funded a pilot study that led to the current project.

The research libraries in Asia that are partnering in this undertaking include Peking University Library and Tsinghua University Library in Beijing, Shanghai Jiaotong University Library and Fudan University library in Shanghai, the Chinese University of Hong Kong Library, and the Fu Ssu-nien Library of Academia Sinica in Taiwan. These library collections are among the largest and finest Chinese-language collections in the world. In the past, American scholars had to travel to use those collections; today, they can directly access a portion of those valuable materials through the Gateway Center.

American library patrons can complete an online request form for the full text of Chinese journal articles at the Gateway Service Center's website: <http://www.library.pitt.edu/gateway/>. Once a University of Pittsburgh librarian has determined that the requested item is not available from an American library, the request is sent electronically to the appropriate Chinese library. A librarian there will locate the material in their collection, digitize it, and send it electronically to the Gateway Center in Pittsburgh. Gateway Center staff will then print the digital text and mail a hard copy of the article to the requestor. Most patrons receive their requested items approximately one week after submitting a request.

For more information, contact:

Peter Zhou
Head, East Asian Library
234 Hillman Library
University of Pittsburgh
Pittsburgh, PA 15260
Phone: (412) 648-8184
Fax: (412) 648-7683
Email: <pxzhou+@pitt.edu>

## RLG's International Perspective

Serving an increasingly international membership, the Research Libraries Group (RLG) comprises research institutions dedicated to improving access to information needed by scholars. Although the majority of RLG's members are U.S. libraries, more than 20% of the association's members—including six national libraries—are in Australia, Europe, and Africa. International collaboration permeates all RLG actions.

RLG advances international library activities in the following ways:

- RLG promotes international resource sharing among members in Australia, the Consortium of University Research Libraries (CURL) in the United Kingdom and Ireland, the American University in Cairo, and North America. Members develop protocols to accommodate international traffic and expedite delivery. RLG is building an "ILL manager" that supports the complete ISO ILL and ISO 23950 (Z39.50) protocols and interoperates with Ariel document delivery software. With the ILL manager, members will be able to request and deliver documents across platforms while tracking all transactions with all partners.
- RLG provides access to holdings of major European libraries in the same format as bibliographic records stored in the RLIN union catalog. Some resources—such as the European Register of Microform Masters, the Swiss National Library's Helvetica Database, and the current catalog records from the national libraries of France, Italy, and Spain—are converted and loaded into the RLIN union catalog. Other resources—such as the CURL Union Catalogue, the Deutsche Bibliothek Database, and the National Library of Australia Catalogue—are accessed as needed through RLG's Z39.50 client gateway, with conversion done on the fly. In January 1999, RLG began providing free access to the Deutsche Bibliothek Databases for all AAU/ARL German Resources Project participants who did not have RLIN search accounts.
- RLG offers centralized access to dispersed archival collection guides, which can in turn link to digital materials. RLG's Archival Resources service, released in September 1998, indexes finding aids stored on servers worldwide.
- RLG is developing best practices for long-term retention of digital materials through a series of symposia and international working groups involving RLG members. Additionally, *RLG DigiNews*, a bimonthly web-based newsletter produced in cooperation with Cornell University, focuses on digital initiatives with a preservation component and on emerging practices in image conversion and digital archiving. *DigiNews* is available at <http://www.rlg.org/preserv/diginews/>.

For more information, see the RLG website at <http://www.rlg.org/>, or contact:

James Michalko
President
Research Libraries Group
1200 Villa Street
Mountain View, CA 94041-1100
Phone: (650) 691-2243
Fax: (650) 964-0943
Email: <bl.jpm@rlg.org>

## CLIR's International Program

For the past decade, the International Program of the Council on Library and Information Resources (CLIR) has focused its efforts on raising preservation awareness abroad and helping to identify methods and strategies for dealing with problems of access to library and archival holdings. Often, CLIR provides modest financial support that enables institutions to take the next steps in a preservation strategy. The International Program's activities have included:

- The Program supports projects that translate preservation literature into Portuguese and Spanish. In Brazil, CLIR's Portuguese translation project led to a series of workshops held throughout the country, a nationwide preservation survey, and the formation of a national network to promote preservation awareness and improved conditions in Brazilian archives and libraries. The Spanish translations, conducted in Venezuela, are serving as the basis for a broader translation project in Chile. The Chilean project will be supported by The Andrew W. Mellon Foundation, and will be modeled on the Brazilian example to include workshops and a survey.
- CLIR established the European Register of Microform Masters (EROMM), in cooperation with the Commission of the European Union. CLIR has also supported the subsequent creation and contribution of records from Latin America, Russia, and Eastern Europe to the EROMM database. Since 1996, when RLG agreed to exchange records with EROMM, the database has rapidly grown to its current size of 2.3 million records of microform masters. EROMM is an excellent resource for preservation managers who wish to avoid duplication of microfilming and for scholars who seek access to materials.

- The Program supported a project at Fudan University in Shanghai, China, to microfilm more than 4,000 titles of Chinese-language monographs published between 1932 and 1945. Many of the titles were embrittled and most were unavailable in the U.S. The collection includes titles in literature, history, philosophy, law, economics, popular culture, and society, which are available for loan or purchase from the Center for Research Libraries.
- CLIR sponsors international meetings among scholars, librarians, archivists, and information scientists to address issues in scholarly communication. These meetings have included the 1993 conference, "Preserving the Intellectual Heritage," in Bellagio, Italy, and a recent meeting cosponsored with the Library of Congress to discuss the state of library collections about modern Greece.
- The Program sponsors preservation management workshops in South Africa.

CLIR will continue to raise preservation awareness abroad while more actively seeking international partners for cooperation on broader programmatic themes, such as digital libraries, resources for scholarship, the economics of information, and leadership.

For more information, see the CLIR website at <http://www.clir.org/programs/cpa/internat.html>, or contact:

Kathlin Smith
International Program Officer
Council on Library and Information Resources
1755 Massachusetts Avenue, NW, Suite 500
Washington, DC 20036-2188
Phone: (202) 939-4754
Fax: (202) 939-4765
Email: <ksmith@clir.org>

## OCLC Serves Libraries around the Globe

OCLC now serves more than 34,000 libraries in 67 countries and territories; more than 4,000 OCLC user libraries are outside the U.S. Through participation in the OCLC cooperative, each week member libraries catalog more than 700,000 items and add over 40,000 unique records to the OCLC WorldCat database.

Recent international initiatives include:

- In 1999, OCLC came to an accord with the National Library of Australia that will allow the 1,300 Australian libraries using the National Library's new Kinetica resource sharing service to become full or partial OCLC members.
- In 1998, OCLC entered into an agreement with SABINET—a South Africa-based provider of online information services—that will enable more than 900 libraries in South Africa to participate in cooperative cataloging and resource sharing using OCLC systems and services.
- In January 1999, OCLC launched the Cooperative Online Resource Catalog (CORC) research project. Approximately 100 participating institutions in five countries are using a system developed by OCLC's Office of Research to extend the WorldCat collaborative cataloging model to the digital resources of the WWW. The research project is exploring the cooperative creation and sharing of metadata by libraries. Libraries use prototype software to contribute to a new database of electronic resource descriptions. Automated tools speed subject assignment, provide authority control, extract descriptors, and translate metadata from Dublin Core format to MARC.
- During a March 1999 workshop, the OCLC Institute guided 41 librarians from 18 countries in a highly interactive critical analysis of the foundations of global cooperative librarianship. The OCLC Institute, a recently created educational division of OCLC, promotes the evolution of libraries through advanced education and knowledge exchange. Recent international venues include Canada, Iceland, Jamaica, Russia, Trinidad and Tobago, and the United Kingdom.
- In April 1999, OCLC and Pica Foundation announced the signing of a letter of intent that could lead to the establishment of a jointly owned organization to better serve the European library community. Pica Foundation, a cooperative not-for-profit organization based in Leiden, Netherlands, provides cataloging, interlibrary loan, and local and end-user services to libraries in the Netherlands, France, and Germany.
- OCLC has met quality standards and has received registration to ISO 9001, the International Standard for Quality Systems-Model for Quality Assurance in Design, Development, Production, Installation, and Servicing.

For more information, see <http://www.oclc.org/>, or contact:

Phyllis Bova Spies
Vice President
Worldwide Sales
OCLC
6565 Frantz Road
Dublin, OH 43017
Phone: (614) 764-6266
Fax: (614) 718-7323
Email: <phyllis_spies@oclc.org>

# Strengthening Access to Overseas Library Collections

*by Mary E. Jackson, ARL Senior Program Officer for Access Services*

Interlibrary loan (ILL) and document delivery (DD) services involving international trading partners are playing an increasingly prominent and key role in several projects of the AAU/ARL Global Resources Program. Traditionally, collection development librarians have been hesitant to rely on other libraries to meet their users' needs, in part because interlibrary loan was viewed as too slow, inefficient, and costly. Low fill rates, short loan periods, and restrictive and inflexible lending policies of some libraries have also contributed to the view that ILL is not responsive to user needs. There has been even less reliance on collections outside North America for all of the above reasons and the added concern about potential loss in the mails and the length of time that an item might be away from its local collection. In the most fundamental sense, the ILL/DD services being tested in the Global Resources Program prompt a reexamination of these negative assumptions. The projects also reexamine, in an international context, the perennial dynamics between acceptable levels of ILL/DD performance (primarily turnaround time) and the range of costs for such services. Lessons from the ILL/DD components of the projects will help us evaluate the extent to which collection interdependence with overseas libraries is a viable strategy for strengthening North American access to global resources.

The German Resources Project, the Japan Journal Access Project, and the Latin Americanist Research Resources Project have strong ILL/DD components. Each is designed to test whether North American libraries can provide their users with rapid and reliable access to materials from other libraries or suppliers, including those that are located in the country of publication. This is a significant shift from the more traditional approach of building strong and deep local collections and relying on ILL for the occasional item from other North American libraries.

**Latin Americanist Research Resources Project**

The Latin Americanist Research Resources Project was the first of the Global Resources Program projects to incorporate an interlibrary loan component when it introduced an article ordering link between the University of Texas at Austin's Latin American Network Information Center (UT-LANIC) table-of-contents database and the OCLC ILL system. The ordering link, based on OCLC's proprietary ILL Prism Transfer software, permits individuals with access to the World Wide Web to initiate an ILL request for any article they identify in the UT-LANIC database. Requests are sent to the OCLC ILL Review file, where ILL staff in the patron's library are alerted to review the requests, choose locations, and transmit the requests to the first potential lenders. This linkage was one of the first examples of transferring bibliographic data from an external citation database into the OCLC ILL system without re-keying the citation. UT-LANIC and OCLC have agreed to discontinue use of this proprietary software by April 2000 and will use instead the ISO ILL Protocol to transfer requests into the OCLC ILL Review file. The Project also established a goal of three working days for expedited turnaround time. The expedited turnaround time provision proved to be unnecessary because many institutions offer such service voluntarily, so it was dropped from the second renewal agreement.

The Project is looking to expand its membership and document delivery opportunities by adding Latin American partners. The first of these partners, a private Bolivian library that is not an OCLC member, offers another opportunity to implement and test the use of the ISO ILL Protocol.

**Japan Journal Access Project**

Improved interlibrary loan and document delivery for Japanese journals and newspapers is being advanced in three complementary ways in the Japan Journal Access Project. The first is increased access to North American holdings of Japanese journals and serials via Ohio State University's East Asian Libraries Cooperative Web site at <http://pears.lib.ohio-state.edu/>. The site provides access to the Union List of Japanese Serials and Newspapers, a list which includes nearly 6,000 titles held by 25 libraries or available on the Web.

A second area of focus is the ILL/DD agreement with Japan's Waseda University Library. Project participants have agreed to send ILL requests via OCLC, articles via Ariel, books via airmail, and pay any lending fees using the OCLC ILL Fee Management (IFM) service. This ILL service is bidirectional—Waseda may borrow from North American participants, and the North American participants may borrow from Waseda. The agreement, begun in November 1998, is designed to avoid the creation of special procedures or handling outside of the main workflow of ILL operations.

A third component of the Japan Journal Access Project is a new agreement with the Association of National University Libraries (ANUL), undertaken in conjunction with the National Coordinating Committee on Japanese Library Resources (NCC). The nine-month, bidirectional pilot with seven Japanese public university libraries and ten North American

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university libraries is limited to non-returnable journal articles and book chapters. Documents will be transmitted from the U.S. to Japan via Ariel and from Japan to the U.S. as email attachments. Methods of requesting materials, payment of lending fees, and copyright compliance are three key elements to be tracked and assessed during the project.

**German Resources Project**

The German Resources Project has taken yet a different approach to ILL/DD services. North American participants in the German project are being offered access to the German GBV union catalog and several article citation databases. The service, GBVdirekt/North America, permits North American participants to order materials held by participating German libraries. Initially, the service is limited to articles sent as email attachments to the requesting library. ARL has agreed to maintain deposit accounts for the participants and to remit payment to Göttingen University Library for filled requests. Tested in the spring of 1999, GBVdirekt/North America was made available to all German Resources Project participants on 1 July 1999. Project participants are beginning to explore how to expand the service to include requests for books and other returnables, as well as how to offer German libraries the ability to order books and articles from North American participants.

*Although there is keen interest in offering unmediated ordering, the lack of patron identification and authentication is requiring the Global Resources projects to begin with library-mediated services.*

## ILL/DD Barriers and Challenges

Although most of these interlibrary loan and document delivery services are just getting underway, the projects have already identified a number of challenges, which are discussed below. Satisfactory solutions for these problems must be found in order to permit international ILL/DD services to provide the required timely, efficient, and cost-effective alternative to local ownership.

**Holdings Information**

Verifying the holdings of potential lenders is one of the first steps of the ILL/DD process. The UT-LANIC database, the Union List of Japanese Serials and Newspapers, Waseda's loading of its holdings into OCLC, and the availability of the German GBV union catalog all simplify the process of identifying potential suppliers for these projects. However, these various databases and union catalogs still represent only a portion of the universe of relevant resources. The lead institutions in the various Global Resources projects could play an important role by accelerating their cataloging of relevant foreign language holdings as well as by identifying additional information about North American and overseas holdings of foreign language resources.

**Patron Identification and Authentication**

A second issue is patron identification and authentication. As scholars, students, and others are offered the ability to initiate unmediated ILL/DD requests directly from their desktops to suppliers without the re-keying or review of orders by ILL staff, library managers need to ensure that they are providing this service only to eligible patrons. A host of legal and financial issues prevent libraries from providing such a service to patrons without local interlibrary borrowing privileges. Early experience in the Latin Americanist Project suggests that the ILL staff are not encouraging their patrons to identify materials and place orders using the UT-LANIC/OCLC link because of the lack of patron authentication. Currently, ILL managers are more worried about patron authentication than saving their staff time in processing requests. Perhaps the low volume of ILL transactions transferred directly from UT-LANIC into the OCLC ILL system reflects a service philosophy that encourages patrons to use the UT-LANIC database for searching but requires them to initiate ILL/DD requests via the traditional, mediated process.

The 1997–98 ARL ILL/DD Performance Measures Study confirmed the cost effectiveness of unmediated requesting.[1] Although there is keen interest in offering unmediated ordering, the lack of patron identification and authentication is requiring the Global Resources projects to begin with library-mediated services. The German project faces further technical and policy issues: the system used in the German project considers the library as the user; if unmediated ordering were offered, one individual would have access to the orders placed by other individuals within that institution, violating the principles of library patron confidentiality and individual privacy. Also, the German project is not yet equipped to handle numerous deposit accounts or credit card transactions.

**ILL/DD Workflow & Locus of Responsibility**

With the initiation of these projects, several practical issues have arisen that are specific to requesting and receiving ILL/DD services from overseas suppliers. Many North American libraries find it more efficient to use a single messaging system for all their ILL transactions; for most, that is the OCLC ILL system. Requests sent or received via any other method may be treated as exceptions and are often handled outside the normal workflow. This tends to delay those

requests and raise their cost for the requesting library. For example, will ILL/DD staff receive sufficient numbers of requests for German language articles to remember how to order them from GBVdirekt/North America? The Global Resources projects are testing models that use the OCLC ILL system, as well as non-OCLC systems, for order placement and tracking. All of the projects are encouraging adoption of the international standard for interlibrary loan communication, the ISO ILL Protocol, by the various ILL messaging systems. Implementation of the ISO ILL Protocol would, for instance, permit an American library to use OCLC to initiate a request that could be received by a German library via GBVdirekt/North America. In that way, both libraries would be able to use their messaging system of choice.

*Are there reasons why North American participants should not order first from efficient foreign suppliers, rather than exhausting North American resources before approaching a foreign library?*

A related question is, Which library department should be responsible for ordering materials from overseas libraries? Are there circumstances when area studies bibliographers should place ILL/DD requests because they have the language and subject expertise? Or, when should those requests be handled by ILL staff because they have knowledge of complex ILL policies and procedures and may find ways to mainstream the requests into ILL workflow, thereby minimizing the costs associated with handling the requests? The Japan and German projects are testing both options. It is doubtful that the results will identify a single strategy suitable for all libraries and circumstances, but the experience should provide insight into the pros and cons of each approach.

**Choice of the Most Appropriate ILL/DD Supplier**

All ILL/DD departments have developed preferred trading partners as the result of experience. In most cases, these preferences reflect reciprocal agreements that seek to balance benefits among all partners. The preferred trading partners of most North American academic and research libraries are other libraries in North America. However, when it comes to borrowing foreign publications, should U.S. or Canadian participants exhaust all North American resources before initiating overseas requests, or should they instead be encouraged to order from the supplier that provides the best and most cost-effective service? This is another issue to be addressed in developing international ILL/DD programs. The German project is aiming for 72-hour delivery at a cost of approximately $10 per request—faster and at a lower fee than many North American library suppliers. Are there reasons why North American participants should not order first from efficient foreign suppliers, rather than exhausting North American resources before approaching a foreign library?

**Community Readiness**

The challenge of providing timely and cost-effective delivery is a key element in encouraging global ILL/DD. Use of RLG's Ariel electronic document delivery software, Ariel-compatible software, or email attachments eliminates mail delays when sending scanned copies of journal articles and book chapters. The Global Resources projects may give us a better sense of whether North American ILL operations and patrons are ready and able to accept email attachments in lieu of documents sent via Ariel to ILL offices.

The expense of shipping books and other returnables overseas is an additional issue raised by international ILL/DD. The Waseda agreement requires participants to ship items via Airmail Printed Matter, with the requesting library responsible for payment of the shipping fees. Will that arrangement scale? Even if libraries are willing to absorb shipping costs, some remain reluctant to ship their own materials overseas. The Waseda project seeks to minimize *hydrophobia*, or "the fear of shipping ILL materials over oceans," with the use of insured shipments or carriers and the earning of trust among partner libraries.

**Managing the Financial Side**

Another major challenge to global ILL/DD service is the practical matter of managing the finances: it is imperative to find an efficient way to pay invoices for ILL transactions issued in different currencies. An explicit assumption of several of the projects is that libraries should not and will not waive their normal lending fees when filling international requests; therefore, the projects are seeking ways to reduce the expense of paying in different currencies. The Waseda agreement to use OCLC's ILL Fee Management (IFM) service is very promising because the service aggregates and mainstreams all OCLC ILL transaction invoices into a single statement, thereby eliminating the difficulties of handling individual invoices, especially those in a foreign currency. Unfortunately, OCLC's IFM cannot be used for non-OCLC transactions. ARL's agreement to serve as the "banker" for the German project is a short-term strategy to permit the Project to develop a viable long-term payment method. Although the ANUL participants in the Japanese project agreed that payment of lending fees was one of the key elements to be tracked during the



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pilot, no short-term payment option was found that would meet the Japanese legal requirements for transaction-based invoicing. All participants agreed to waive their lending fees for the duration of the pilot project with the hope that a long-term solution to charging will be found.

### Copyright Compliance

Compliance with varying national copyright laws and related regulations is another challenge to effective international resource sharing. The German and Japan projects have identified copyright compliance, especially regarding digital scanning of printed works, as an area that needs additional study. It is as yet unclear whether German or Japanese libraries are permitted to scan materials using the Ariel software, or whether their national laws permit libraries to send materials directly to end users.

## A Different Kind of Challenge—Assessing the Experiments

Effective interlibrary loan and document delivery services balance user expectations with sustainable costs. The various projects of the Global Resources Program offer a wide variety of testbeds to find ways of understanding and surmounting the challenges of trading with overseas libraries. These challenges arise from the fact that foreign libraries employ different ordering and delivery systems, use different monetary currencies, are accountable to different copyright laws, and have significantly different traditions of lending policies.

Assessing the results of the ILL/DD components of the Global Resources Program presents an additional challenge, however. The level of use of foreign language materials in research libraries has never approached that of English language materials. The potential number of users, and therefore usage, may grow with improved accessibility and awareness of resources, but it is unrealistic to expect dramatic increases. This relatively low use is, in fact, one of the reasons these materials are vulnerable to elimination from so many library collections in North America. Yet, they represent an essential component of a comprehensive research level collection. This characteristic adds to the challenge of evaluating new models of ILL/DD services for these materials.

How should participant libraries interpret a low volume of use of a new service? How many requests need to be exchanged for the projects to consider any new ILL/DD service to be successful? Is the UT-LANIC to OCLC link unsuccessful because fewer than 50 requests were transferred to the OCLC ILL system over a two-year time period? Or, is the database being used to identify materials that are then ordered through the more traditional, mediated ILL process? What criteria should libraries enlist when attempting to answer these questions?

In the first six months of the document delivery project with Waseda, six U.S. participants filled 23 requests for Waseda, and Waseda filled 19 requests for the U.S. participants. The volume of ILL/DD requests in all of the projects may be modest, but it parallels the findings from the ARL ILL/DD Performance Measures Study that suggest that international ILL/DD represents less than one percent of a library's total ILL/DD traffic. With the exception of Germany, the regional projects represent areas of the world with which North American interlibrary loan operations have had very little, if any, communication or exchange. Although virtually all of the 119 participants in the Performance Measures Study engage in international ILL, no participant indicated that libraries in Latin America, Asia, or Africa were their most common international trading partners. The Global Resources projects may establish new trading partners in those areas of the world, especially as the projects expand to include non–North American participants.

The scale of any single project may never be large enough to provide a definitive assessment of different approaches to ILL/DD services. While the Global Resources projects gain experience and grow, thought needs to be given to identifying realistic indicators of their combined success and impact, perhaps via interviews and focus groups with users of the service. Evidence at this early stage suggests that merely quantitative indicators will likely underplay the potential long-term significance of the services. The ultimate success of any or all of the Global Resources projects might be demonstrated when the volume of borrowing from a foreign country is equal to or even less than lending to libraries in that country. True reciprocal lending will result when foreign libraries rely on the distributed collections held by North American libraries as much as North American libraries rely on foreign collections.

[1]The ARL ILL/DD Performance Measures Study was a two-year effort to measure 1995/96 performance of ILL departments in 119 North American research and college libraries. The Study, funded by The Andrew W. Mellon Foundation, examined four performance measures: direct cost, fill rate, turnaround time, and user satisfaction. The Study also examined the differences among libraries and identified characteristics of low-cost, high-performing ILL operations to suggest strategies for other research and college libraries to improve local performance. For more information about the study, see <http://www.arl.org/access/illdd/illdd.shtml>.

# From Independence to Interdependence: Shifting Organizational Cultures

*by Kathryn J. Deiss, OLMS Program Manager*

*The world finished for me on the day my* Nautilus *dived beneath the water for the first time. That day I bought my last books, my last magazines, my last newspapers, and I would like to believe that humanity has thought or written nothing since then.*

—Jules Verne, *Twenty Thousand Leagues under the Sea* (Captain Nemo to Dr. Aronnax)

Captain Nemo closed the hatch not only on the *Nautilus* but also on the very possibility that the human species would produce anything of any consequence beyond the day when he took his ship into the sea. The attempted *in-dependence* of Captain Nemo could be seen as folly even in the nineteenth century—he appears to have been the ultimate resister of change! In contrast, today, the *inter-dependence* of individuals and institutions carries with it an urgency equal to Captain Nemo's, but with a realization of the critical nature of shared problem solving in this complex and intellectually accumulating world.

At one time, libraries may have had the insular perspective of Captain Nemo—collecting for themselves and for their immediate "universes." Now, however, libraries are working to alter their individual and collective cultures for compelling reasons. Paramount among these reasons is the realization that user access to the world's cultural and intellectual products is vulnerable if we rely solely on long-standing assumptions regarding our ability to build local library collections that are largely self-sufficient.

In spite of the fact that we have come to some sense of the need for broadened access and cooperative collection development, libraries struggle to change their internal cultures and struggle to develop understanding within their institutions' broader culture of the benefits of shared collections and services. Over the last twenty years of discussion and modest movement toward cooperative collection development, the discourse was dominated by a tension between investing resources to amass broad and deep local collections versus the budgetary realities in a world of constrained resources. This tension was fed from many directions. Overall, however, it was the practical and political difficulties of providing local library users with access to remote collections (be they located across town or across a continent or ocean) that loomed large, and with a few notable exceptions, restricted library initiatives effecting cooperative collection development to modest proportions. Dependence on remote collections is often resisted by the "organizational culture" of the library and of the institution of which the library is a part, a culture that by its very nature rallies to protect the status quo. Based on these experiences, assumptions may be implicitly made that extending cooperative collection development agreements "too far" toward dependency on another institution is at best risky and at worst threatening to institutional identity and pride.

How can this ingrained and, in some cases, strategically conservative culture effectively *adapt* and *learn* while navigating an uncertain immediate and long-range future? In essence, how can the organizational culture of an institution such as an academic library change?

### What is Organizational Culture?

What is the nature of organizational culture? Will a greater understanding of it help us to overcome some of the hurdles we face as we attempt to spark cultural paradigm changes in academic and research libraries? The concepts of social scientist and organizational behavior expert Edgar Schein help to answer these questions. Schein created a lasting definition of organizational culture in his seminal article *Coming to a New Awareness of Organizational Culture*:

> Organizational culture is the *pattern of basic assumptions* that a given group has *invented, discovered or developed* in learning to cope with its *problems of external adaptation and internal integration*, and that have *worked well enough to be considered valid*, and, therefore, to be *taught to new members as the correct way to perceive, think, and feel* in relation to those problems.[1] (Italics his.)

In each piece of this definition lie the clues to how people in organizations work together both to protect and perpetuate the culture of the status quo. If we dissect Schein's definition and apply it to the world of libraries and specifically to the world of collection building, we may be able to see how the self-preserving dynamic of organizational cultures operates.

A *pattern of basic assumptions* means an understood set of assumptions—the assumptions are implicit not explicit. They are operationalized values and belief systems in that they drive choice, behavior, and actions within the organization. We need such patterns so that we don't have to invent approaches to situations every few seconds. So, in relation to collection building, we have seen a pattern of assumptions surrounding what it means to be a "complete" library, a relevant and even a practical

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library; what it means to collect for future generations; what kind of collecting is valued most at any given time; etc. These assumptions have defined research library collections and what they have to offer to the institutions and societies of which they are a part.

As Schein points out, patterns of assumptions, such as the ones we have known in libraries, did not just appear—they were *invented, discovered, or were developed* by us and others who were in our libraries, our professions, and our universities before us. So, after the establishment of the first monastic order, the first university, and after the invention of the Gutenberg press, the concept of a duplicable text or record of human thought was invented. Not only did this new capability to have the same text in many places at once serve society in immediate socio-political terms, it signaled that it was possible to be in-dependent of the one location where the one text used to reside. In fact, it was possible to create multiple representations of scholarly and nonscholarly texts all over the globe. This new concept was made possible by both discovery and invention and then perfected through the development of faster presses, better paper, shipping, etc. Here began a pattern of assumptions: not to be dependent on remote places, to have all within reach—this was now assumed to be a "good" thing, a signal of social health for an individual or scholarly community to build a library collection.

*It is clear that we have moved beyond the now almost quaint "ownership vs. access" discussion to an examination of how we might make strategic choices about building collections in order to develop our inter-dependencies to the benefit of current and future users.*

By inventing and discovering these new ways of interacting with the output of human thought, we were working toward *external adaptation and internal integration*. We were externally adapting to an environment in which it was not only inconvenient to hang on to old ways of doing things—riding a donkey for miles to the nearest monastic library to read a copy of Aristotle's *Poetics*, for example—it was also critical to work within a newly forming social norm: that of local education and the belief that owning and amassing books was both good and a mark of intelligence (both personally and institutionally). We were internally integrating new discoveries into our daily lives and adjusting our values and beliefs to accommodate the new.

Thus we arrived at a point in more recent history where these new values and beliefs underlying the pattern of assumptions *worked well enough to be considered valid*. It became impossible to consider a great (or even minor) university without a library—preferably a comprehensive one. To maintain this cultural norm meant we had to admit little to no questioning of our assumed beliefs, values, and patterns of behavior around what a library was, what a library ought to hold, and what was required to make a library great.

This led to the need, desire, and organizational imperative to *teach these patterns of assumptions to new members as the correct way to perceive, think, and feel.* This is neither a judgmental statement nor a pejorative one—it is merely a neutral fact of organizational behavior. From a logical perspective this teaching of new people joining the organization makes great sense—it is, in fact, an acculturation process that allows the organization to continue to do what it has always done and what is expected and demanded of it.

It appears, then, that the culture of the organizations we call libraries is a very old pattern indeed and that it has functioned and served well or it would have been eclipsed or replaced much earlier. Now we are discovering, inventing, and developing new ways of viewing the world and the roles of ourselves and libraries in it. This has caused a seismic shift in our perspective of what is a useful pattern of assumptions in relation to our age. The concept of libraries as collections of artifacts held in one place for a particular, largely local set of constituencies, though still powerful and valid, is being tested as we are reminded of our interdependence and the impossibility of a future of institutional and organizational in-dependence.

This is not to suggest that we are at the point of tossing out the whole pattern of assumptions we have operated on for centuries but that that pattern is being painfully and thoroughly investigated by none other than ourselves. We have been driven to this act of investigation and exploration—which is, in turn, leading to new discoveries and adjustments to our patterns of assumptions—by what is known as *disconfirming evidence*, i.e., evidence that tells us our stalwart pattern of assumptions will no longer hold without some adjustment. We come upon this disconfirming evidence almost everywhere we turn (although each of us "sees" and assimilates its significance on our own timetable, making for heated and emotional debates on the need for any change). The evidence comes by way of economic pressures and constraints, publishers' practices, changing patterns of scholarly communication, new user demands,

remarkable advances in technology, and—I personally hope—by our own internal urge to explore our curiosity about what different assumptions could lead to for our users.

It is clear that we have moved beyond the now almost quaint "ownership vs. access" discussion to an examination of how we might make strategic choices about building collections in order to develop our inter-dependencies to the benefit of current and future users. Our pattern of assumptions has shifted from one collection sufficient unto itself to a pattern that crafts an inter-dependent network of collections for the good of the user.

Earlier in this issue of *ARL*, Deborah Jakubs describes the AAU/ARL Global Resources Program as a microcosm of the array of new challenges confronting research libraries, challenges not unique to managing collections of foreign language resources. In this context, she questions what it means in the current environment to "build a collection" and then articulates a new vision

> *of collections as a wide array of resources, some held locally but many found elsewhere—even outside North America—and not necessarily in libraries or in print form. We do not need to own the physical object to consider it part of our "collection."*[2]

For some readers, those who have witnessed some form of *disconfirming evidence*, this may strike them as an obvious statement of the new reality. For others, it may be an explicit statement that expresses an intuitive hunch that had not yet been fully assimilated in their own thinking or plans. And for yet others, such a statement may represent an unthinkable course of action. Among the people using libraries and those working in libraries and in the institutions they serve, there is a broad spectrum of readiness for change. That spectrum is narrowing as more people gain experience from projects testing the new environment.

In this context of trying to shift established organizational cultures within libraries and their institutions, the regional projects of the AAU/ARL Global Resources Program may be viewed as opportunities to accelerate the acceptance of change. For example, by demonstrating strategies that make collection inter-dependence *work well enough to be considered valid*, some of the hurdles presented by the "old" organizational culture can be overcome. The more people who gain experience that convincingly demonstrates the workability of new models of cooperation both within and among institutions, the faster the lessons learned from these projects may be institutionalized.

Evaluations of individual project experiences also present opportunities for the assessment of new models of cooperation within an organizational culture. Importantly, the report of the Association of American Universities' Task Force on the Acquisition and Distribution of Foreign Language and Area Studies Materials proposed four broad points to be considered when measuring progress toward achieving the overall goals of a comprehensive collaborative program of foreign acquisitions.[3] The recommended goals are:

- *Research libraries in North America have restored and are maintaining acquisitions of foreign materials at levels adequate to North American needs.*
- *Significant progress has been made in assuring effective and timely access to and delivery of foreign research materials. Specifically, campus networks and their electronic infrastructures have been developed sufficiently to support selective electronic resource sharing and that interlibrary loan services have been modernized.*
- *The projects have developed realistic financial strategies that incorporate reallocation as a central funding source.*
- *Foreign area specialists and other faculty who routinely rely upon foreign language materials have become convinced that the program is producing improved access. The impact on users is a critical factor.*

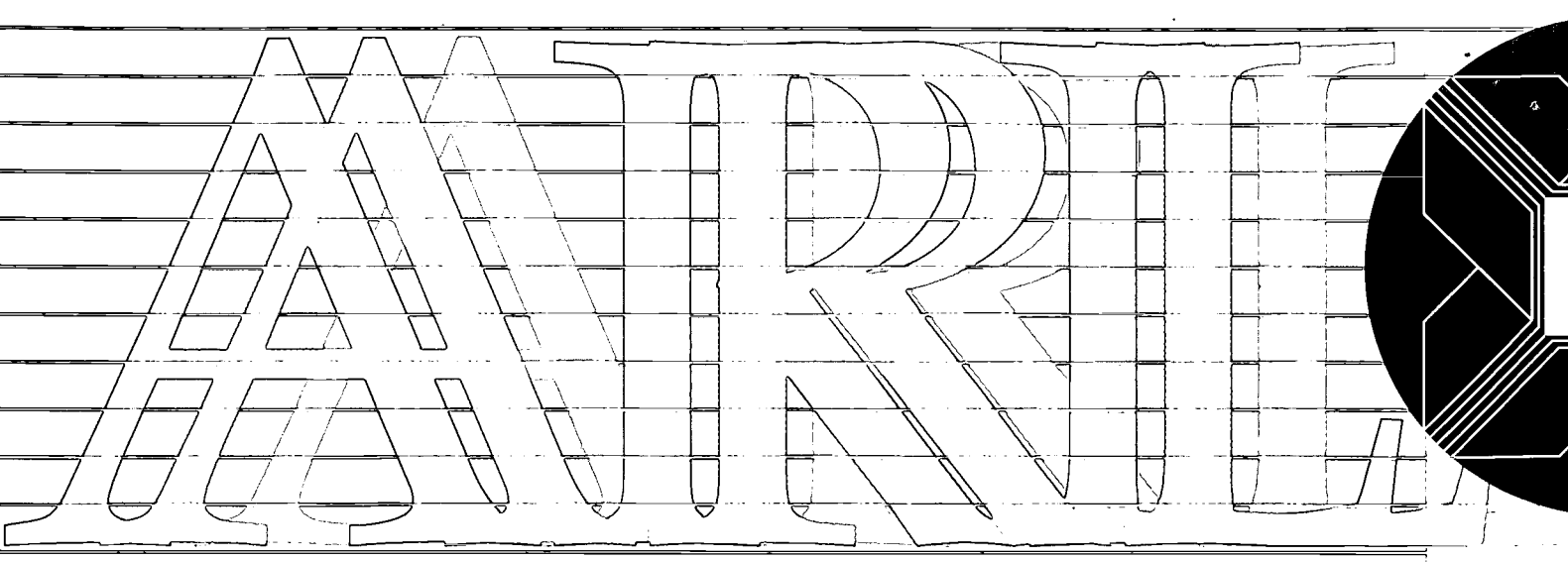
By proposing evaluation measures at this broad level, the AAU Task Force helped to define the scope of the Global Resources Program as a strategic operation with opportunities—and hurdles—that reach far beyond the library and have implications for the culture of the institution as a whole.

The twenty-first century promises to be a time of increased global collaboration among all kinds of institutions; consequently, many individuals will need more effective access to worldwide information resources. By working together in the Global Resources Program to respond to global needs for improved information discovery and exchange of knowledge, libraries are furthering their mission of providing foreign language content for coming generations. They are also contributing to reshaping the organizational culture of the research institutions that support the arts, sciences, and humanities.

[1] Edgar Schein, "Coming to a New Awareness of Organizational Culture" in *Sloan Management Review* 26 (winter 1984): 3–16.

[2] Deborah Jakubs, "The AAU/ARL Global Resources Program: Both Macrocosm and Microcosm" in *ARL: A Bimonthly Report on Research Library Issues and Actions from ARL, CNI, and SPARC* no. 206 (Oct. 1999): 1–7.

[3] Association of American Universities Research Libraries Project and Association of Research Libraries, *Reports of the AAU Task Forces* (Washington: ARL, 1994), 27.



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**Editor:** G. Jaia Barrett, Deputy Executive Director
**Assistant Editor:** Kaylyn Hipps
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# THE IMPACT OF PUBLISHER MERGERS ON JOURNAL PRICES: AN UPDATE[1]

*by Mark J. McCabe, Assistant Professor of Economics, Georgia Institute of Technology*

Near the end of 1997, Reed Elsevier and Wolters Kluwer proposed a merger of their operations that upset more than a few librarians. Elsevier's publishing "empire" was about to grow even larger. The fear of runaway academic journal prices was palpable in places where the mere mention of the company's name causes people to grab for their wallets.

More than a year and a half later, much has changed in the academic publishing markets. Although the proposed Elsevier/Kluwer deal failed after facing regulatory scrutiny, consolidation continues at a rapid pace. A half dozen major transactions involving science, technical, medical (STM), or legal publishers have occurred over the past 18 months. At the same time, new web-based technologies are transforming the production and delivery of scholarly research articles. These events have provided me with a unique opportunity to assess the economic behavior of academic publishers and libraries, first at the U.S. Department of Justice (DOJ) and now as an Assistant Professor at Georgia Tech. Last fall I reported some preliminary results from this effort in *ARL*.[2] My intention here is to briefly revisit that article and then describe my subsequent progress.

## Traditional Merger Analysis

Normally, the most important issue in merger analysis is determining the extent of the relevant market. A narrowly defined market, where the number and type of products included is small, makes it more likely that a merger of two sellers in this market is anticompetitive. Conversely, in a broadly defined market the likelihood of harm is not as great. For any given merger the choice of market definition depends on whether market power could be exercised by a hypothetical monopolist in the defined market.[3]

In the case of publishing, the DOJ typically assumed that products consisted of book or journal content and that the appropriate market definition included books or journals containing very similar content. So, for example, if two publishers proposed a merger, antitrust officials would focus on the extent of overlap between the companies' content. If the market definition suggested that the two firms' share of a given market was "too" high, i.e., a postmerger price increase was likely, then a divestiture might be required; if the extent of the overlap was large across the firms' product range, the DOJ could sue to block the entire transaction. Of course, since any journal is at best an imperfect substitute for any other journal, markets were defined fairly narrowly.[4] And because most companies' journal assets were highly differentiated, most if not all mergers appeared to be harmless. As a consequence, over the past decade or so antitrust activity in the academic and legal publishing markets has been very quiet. Even the controversial Thomson/West merger in the mid-1990s resulted in few meaningful divestitures.

So when the Elsevier/Kluwer deal was proposed in 1998, the companies probably anticipated little resistance from government authorities in the U.S. or Europe. Although the European Union would eventually register concerns about overlap among the two companies' European legal products, their argument was based on the traditional approach to publishing

TABLE 1. ISI-RANKED BIOMEDICAL JOURNAL TITLES FROM MAJOR COMMERCIAL PUBLISHERS, 1998

| | Titles Published | Observed ISI Titles | Percentage of Published Titles Observed |
|---|---|---|---|
| Blackwell | 112 | 99 | 88% |
| Churchill Livingston* | 17 | 12 | 71% |
| Elsevier | 262 | 225 | 86% |
| Harcourt | 118 | 109 | 92% |
| Karger | 45 | 39 | 87% |
| Mosby* | 27 | 25 | 93% |
| Plenum* | 22 | 20 | 91% |
| Springer | 99 | 87 | 88% |
| Taylor | 19 | 16 | 84% |
| Thomson* | 41 | 36 | 88% |
| Waverly* | 37 | 35 | 95% |
| Wiley | 78 | 70 | 90% |
| Wolters Kluwer | 112 | 98 | 88% |
| Totals | 989 | 871 | 88% |

Notes:
1. Observed data based on holdings for 194 medical libraries, during 1988–1998 period.
2. Major firms are those with at least 10 ISI-ranked biomedical journals.
3. Firms marked with an asterisk (*) were acquired in mergers with other firms in the list during 1997–1998.

markets. The product market was defined narrowly in terms of content. In the U.S., where these foreign-language legal treatises had no market, there was little opportunity for a conventional antitrust case. If markets were defined narrowly, STM journal content overlap between the two companies was fairly minor.

## Rethinking Tradition

A characteristic of antitrust enforcement in the U.S. is that the population of staff attorneys and economists experiences a fair amount of turnover from year to year. Furthermore, even if an experienced crew is theoretically available, they may have pressing commitments on other cases. This is both a strength and a weakness: a weakness because good ideas may need to be rediscovered (or at least learned anew) by a new staff; a strength because the staff is more likely to adopt a fresh approach when the staff has no strong prior beliefs about a case. I like to think that the situation at DOJ at the time of the Elsevier/Kluwer deal reflected the latter set of circumstances. The staff had no experience with publishing markets. And thanks to discussions with dozens of concerned librarians, the staff grasped the need for a fresh approach.

Indeed, librarians across the country were concerned about persistent journal price inflation, especially among STM titles. In response, since their budgets were growing more slowly than journal prices, many university libraries had been forced to re-allocate dollars from monographs to journals, to postpone the purchase of new journal titles, and, in many cases, to cancel titles. As a consequence, libraries now need to rely more often on interlibrary loans to satisfy faculty demands. However, the most interesting thing we learned from these discussions was that library demand for journals was unlike most markets. Given a set of similar titles, libraries do not subscribe only to the journal offering the best value. Rather, journal cost per use is minimized across a broad field of study, e.g., biomedicine, subject to a budget constraint. The result is a demand for a "portfolio of titles" where the cost-per-use criterion is applied broadly. Thus, journal titles compete with one another for budget dollars over an entire field rather than across a narrow subfield, as intuition might otherwise suggest.

## Testing the Portfolio Theory

Based on this observation, we developed a portfolio theory of buyer and seller behavior in academic journal markets. Given libraries' demand for portfolios of titles within broad fields of study, we demonstrated in a simple economic model that, all else equal, publishers set prices so that higher use (or quality) journals exhibit lower cost-per-use ratios. Thus, higher use journals (that have a lower cost per use) are purchased by most libraries. Conversely, lower use journals (that have a higher cost per use) are purchased by fewer, relatively high budget libraries.[5]

The intuition for this particular ordering is that higher use imparts a "cost advantage" that makes it more profitable for their publishers to price low and sell widely. Given this strategy, lower use or "high cost" journal publishers find it most profitable to price high and sell to fewer, relatively high budget libraries. Note that although the latter firms could match the "low cost" firms' prices, this strategy is less profitable than targeting the smaller base of high budget customers.

Using this model it is also possible to show, in some cases, that mergers are profitable for journal publishers. A corollary is that the merged firm's journal prices increase. The idea here is that the merged firm is able to internalize certain pricing externalities that the merging parties fail to consider when they act independently. Larger portfolio firms are better able to capture these benefits and therefore, all else equal, set prices at a higher level.[6]

Given these theoretical possibilities, we attempted to test these predictions with actual data. We collected information on literally thousands of STM titles from a variety of sources, for the period 1988–1998. We chose to focus initially on biomedical titles (see my working

TABLE 2. ISI-RANKED BIOMEDICAL JOURNAL TITLES: SELECTED DESCRIPTIVE STATISTICS, AVERAGE VALUES PER JOURNAL TITLE, BY PUBLISHER

| | 1988 | | | | 1998 | | | |
|---|---|---|---|---|---|---|---|---|
| | Price (in US$) | Cites | Cost/Use (in US$) | Papers | Price (in US$) | Cites | Cost/Use (in US$) | Papers |
| Blackwell | 193 | 1575 | 0.40 | 123 | 508 | 2652 | 0.55 | 156 |
| Churchill Livingston* | 183 | 1726 | 0.26 | 103 | 721 | 2821 | 0.62 | 146 |
| Elsevier | 482 | 3477 | 0.36 | 179 | 1548 | 4222 | 0.78 | 204 |
| Harcourt | 209 | 3713 | 0.18 | 164 | 518 | 5294 | 0.34 | 171 |
| Karger | 321 | 893 | 0.59 | 86 | 711 | 935 | 1.01 | 79 |
| Mosby* | 100 | 4071 | 0.07 | 248 | 241 | 5369 | 0.15 | 269 |
| Plenum* | 233 | 1352 | 0.25 | 92 | 759 | 1733 | 1.86 | 121 |
| Springer | 481 | 2268 | 0.44 | 141 | 1057 | 2386 | 0.84 | 153 |
| Taylor | 259 | 759 | 0.48 | 74 | 658 | 572 | 1.67 | 55 |
| Thomson* | 207 | 1210 | 0.46 | 92 | 733 | 2788 | 0.45 | 140 |
| Waverly* | 119 | 3171 | 0.10 | 188 | 277 | 5770 | 0.16 | 237 |
| Wiley | 333 | 2205 | 0.38 | 128 | 1409 | 3338 | 1.10 | 145 |
| Wolters Kluwer | 176 | 2535 | 0.19 | 154 | 504 | 3519 | 0.52 | 153 |
| Unweighted Averages | 253 | 2227 | 0.32 | 136 | 742 | 3184 | 0.77 | 156 |

Notes:
1. Numbers based on journals that commenced publication prior to 1989, and had 100 or more cites in 1988 or 1998.
2. Firms marked with an asterisk (*) were acquired in mergers with other firms in the list during 1997–1998.

paper for details). By May 1998, we were able to show, using a so-called reduced-form econometric model,[7] that a firm's portfolio size was positively related to journal prices, and that past mergers were associated with higher prices. However, even after controlling for the effects of portfolio size and other variables, we still observed a substantial inflation residual.

One of the weaknesses of a reduced-form methodology is that unless the investigator has strong prior beliefs about the events that are being measured, the cause of a price change may be uncertain. For example, when we observe higher postmerger prices is this because the merged firm is exploiting greater market power or are the price increases due to unrelated increases in the willingness of buyers to pay higher prices, i.e., a decrease in the elasticity of demand? To help eliminate this uncertainty, economists are sometimes able to estimate structural econometric models that explicitly identify these separate factors. To estimate these types of models, price and quantity data are necessary. In other words, journal prices need to be supplemented by the number of subscriptions for each title. Fortunately, during our antitrust investigation we were able to collect subscription data from a variety of academic and medical libraries. However, unlike other types of information, such as journal price and citation data, library holdings are reported in a highly idiosyncratic fashion. Thus, creating a usable database is very labor- and time-intensive. As a consequence, estimation of a structural model was delayed until June 1999.

## New Descriptive Statistics on Biomedical Journals

To estimate the structural model, I used holdings data from 194 medical libraries, selected randomly from among Medical Library Association members. This data includes some 60,000 subscriptions to ISI-ranked journals (those 8,000 journal titles that the Institute of Scientific Information considers the most significant in their contributions to scientific research). Libraries of all sizes are represented in the sample, some holding less than 10 subscriptions, while others report collections exceeding 1,300 ISI-ranked titles. The preliminary results support the portfolio theory.

Using the ISI-defined biomedical portfolio and the corresponding library holdings, I calculated the actual size of the various commercial publishers' journal portfolios as well as the observed sample portfolios from the 194 medical libraries. Table 1 reports this information using both sources. It is clear from this table that significant variation in portfolio size exists in the industry.

Table 2 presents information by publisher on average subscription price, number of times cited, cost per use (price per citation), and number of articles published in 1988 and 1998. Though prices, citations, and article counts generally increased during the period, the rate of change for prices was far more striking, resulting in higher cost-per-use numbers by the end of the period. For example, Elsevier's average journal price more than

TABLE 3. ISI-RANKED BIOMEDICAL JOURNAL TITLES: AVERAGE NUMBER OF SUBSCRIBERS, BY PUBLISHER

| | 1988 | 1998 |
|---|---|---|
| Blackwell | 31.72 | 30.16 |
| Churchill Livingston* | 34.00 | 31.20 |
| Elsevier | 30.08 | 27.92 |
| Harcourt | 50.51 | 53.23 |
| Karger | 28.81 | 22.77 |
| Mosby* | 94.50 | 96.55 |
| Plenum* | 27.61 | 22.89 |
| Springer | 21.60 | 19.03 |
| Taylor | 11.67 | 12.08 |
| Thomson* | 13.50 | 19.42 |
| Waverly* | 61.67 | 63.41 |
| Wiley | 24.41 | 23.51 |
| Wolters Kluwer | 41.62 | 42.28 |
| Unweighted Averages | 36.28 | 35.73 |

Notes:
1. Numbers based on holdings for 194 medical libraries, during 1988–1998 period.
2. All titles commenced publication prior to 1989
3. Firms marked with an asterisk (*) were acquired in mergers with other firms in the list during 1997–1998.

tripled during the period, while the corresponding citation and article counts increased less than 25%.

Table 3 provides the average number of subscriptions for ISI-ranked biomedical journals, by publisher, in 1988 and 1998.[8] The average number of subscriptions declined only 1.5% from 1988 to 1998. Given that nominal prices increased dramatically over the sample period, the apparent inelasticity of demand indicated by these numbers is remarkable. It suggests that library serials budgets, whether through budget increases or a combination of budget increases and the cancellation of non-ISI-ranked titles, were sufficient to absorb most of the price increases of the ISI-ranked titles. At the same time, these numbers provide indirect support for the model of journal pricing that, all else equal, if library budgets increase, firms have an incentive to proportionally raise prices.

## Analysis of the Structural Model

During the sample period (1988–1998) two significant mergers occurred: one between Pergamon (57 biomedical titles) and Elsevier (190) and the other between Lippincott (15) and Kluwer (75). To estimate the impact of these mergers on the prices of the biomedical journals being studied, a subset of data from the larger sample of medical libraries was analyzed. According to these empirical estimates, each of these mergers was associated with substantial price increases; in the case of the Elsevier deal the price increase was due solely to increased market power.[9] For example, compared to premerger prices, the Elsevier deal resulted in an average price increase of 22% for former Pergamon titles, and an 8% increase for Elsevier titles. This asymmetry probably reflects the corresponding asymmetry in premerger journal portfolio size for the two firms. That is, Pergamon's relatively small biomedical portfolio prevented it from realizing it could profitably set prices at the same level as Elsevier for journals in the same class. In the Lippincott/Kluwer merger, a 35% price increase in former Lippincott titles was due in part to increased market power, but also due in part to an apparent increase in the inelasticity of demand for the titles. That is, after the merger, Lippincott titles were even less likely to be cancelled.

These results also contain a likely explanation for the persistent journal price inflation observed in most academic fields.[10] The sensitivity of library demand to price increases is very small by normal standards (a 1% increase in price results in a 0.3% decline in subscriptions). Given this inelastic demand, publishers have a strong incentive to increase prices faster than the growth rate of library budgets. Based on the structural model estimates for key biomedical journals, the average annual increase in journal prices net of price changes due to journal quality and costs was nearly 10%.

## Formulating the Future

These new results are consistent with our earlier findings. Consider the policy implications. To date, the cumulative evidence indicates that conventional antitrust procedures are inadequate for evaluating mergers in academic journal markets. First, market definition needs to be focused on broad portfolios of journal titles rather than a narrow content-based concept in order to reflect the reality of libraries' demand. Second, mergers involving relatively small companies can have substantial price effects (in 1991, Pergamon was not among the top five publishers in terms of portfolio size). Although antitrust policies in the U.S. and Europe have changed considerably over the past two decades in response to new developments in economics, the special case of academic publishing remains to be addressed. At least two options are available. On occasion, the Department of Justice and the Federal Trade Commission have adopted special antitrust guidelines for markets with unusual characteristics, e.g., for health care and intellectual property.[11] In other instances, antitrust immunity has been granted to certain parties when important social objectives are threatened (access to scientific research certainly merits the label of an "important social objective"). For example, the DOJ, with congressional approval, could grant libraries permission to form a single nationwide buying consortium to counter the substantial market power of publishers.

In the meantime, this research project is still in its infancy. Important future objectives include (1) examining the impact of new journal entry on prices of incumbent journals, (2) contrasting the behavior of nonprofit and

TABLE 4. ISI-RANKED BIOMEDICAL JOURNAL TITLES: SELECTED DESCRIPTIVE STATISTICS BY TYPE OF PUBLISHER

**Nonprofit**

| Variable | N | 1988 Means | 1998 Means | % Change 1988 to 1998 |
|---|---|---|---|---|
| Price | 118 | 146.31 | 335.43 | 129.26% |
| Cites | 118 | 6348.25 | 12540.22 | 97.54% |
| Papers | 118 | 207.85 | 250.50 | 20.52% |
| Subscriptions | 118 | 53.87 | 54.88 | 1.87% |

**Commercial**

| Variable | N | 1988 Means | 1998 Means | % Change 1988 to 1998 |
|---|---|---|---|---|
| Price | 818 | 258.71 | 837.82 | 223.85% |
| Cites | 818 | 1800.37 | 3167.54 | 75.94% |
| Papers | 818 | 115.77 | 157.60 | 36.13% |
| Subscriptions | 818 | 31.92 | 32.51 | 1.85% |

Notes:
1. Subscriptions based on 194 libraries
2. Citations are for a five-year period, e.g. the 1998 citation number is based on cites to articles published during 1994–1998.
3. The papers number corresponds to the number of papers published in a single year.
4. All numbers are based on journals that existed in both years. Although the overall sample of such journals is larger than (818 + 118), some journals are eliminated from the analysis because prices are missing in either or both years, either due to missing observations or a change in the ISSN.
5. Journals sold by publishers with fewer than three titles are not considered.

for-profit publishers,[12] and (3) testing the robustness of this portfolio approach in other STM fields. Finally, I would like to thank the many libraries, librarians, and their associations for their invaluable assistance over the past year and a half.

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1 A version of this paper was published as "Handling Medusa: The Impact of Publisher Mergers on Journal Prices: An Update," *Against the Grain* 11, no.4 (Sept. 1999): 58–61.

2 Mark J. McCabe, "The Impact of Publisher Mergers on Journal Prices: A Preliminary Report," *ARL: A Bimonthly Newsletter of Research Library Issues and Actions* no. 200 (Oct. 1998): 3–7. <http://www.arl.org/newsltr/200/mccabe.html>.

3 According to the horizontal merger guidelines (<http://www.usdoj.gov/atr/public/guidelines/horiz_book/hmg1.html>), antitrust authorities "...will delineate the product market to be a product or group of products such that a hypothetical profit-maximizing firm that was the only present and future seller of those products ('monopolist') likely would impose at least a 'small but significant and nontransitory' increase in price."

4 For example, suppose two publishers of economics titles were merging. If one owned a series of labor economics journals and the second firm specialized in industrial organization, it is not likely that antitrust concerns would be raised because the market for labor economics journals is seen as separate from that of industrial organization journals.

5 For a more extensive discussion of this model, its predictions, etc., see my working paper entitled, "Academic Journal Pricing and Market Power: A Portfolio Approach" (July 1999). This paper can be obtained in portable document format at <http://www.econ.gatech.edu/~mmccabe/journalWEA.pdf>.

6 When acting independently, publishers set prices to maximize the profits of their respective titles, and ignore the external impact upon their competitor's profits. If products are differentiated, as in the case of scholarly journals, then this externality is "positive," i.e., if one firm raises its prices, then other firms have an incentive to raise their prices as well. Since mergers allow firms to internalize this positive effect, higher prices are observed. The intuition here is that a positive feedback process is at work inside the merged firm: raising the price of journal A makes it profitable to raise the price of journal B, which in turn makes it profitable to raise again the price of journal A.

7 For a description of this methodology, see McCabe Oct. 1998, 5–6.

8 These numbers exclude titles that commenced publication after 1988. Including these newer titles would tend to lower the reported 1988 figures relative to the later 1998 numbers.

9 See detailed statistical analysis of these mergers in McCabe July 1999.

10 Note that these inflationary trends are not restricted to commercial publishers; in the case of biomedical journals, nonprofits have raised prices as well. See Table 4 and endnote 12.

11 See the Department of Justice's antitrust guidelines at <http://www.usdoj.gov/atr/public/guidelines/guidelin.htm>.

12 Descriptive data on nonprofit publishers in the biomedical field indicate that in 1998 the average nonprofit journal provides one and one-half times the number of papers with four times the number of citations for less than one-half the cost of commercial titles (see Table 4). These differences between nonprofit and commercial titles may reflect variation in a number of factors, including market power, pricing strategies, timing of entry, the choice of product space, etc. Regardless of the ultimate explanation(s) and their implications for social welfare, it appears that the two modes of publishing behave very differently.

# UPDATE ON SCHOLARLY PUBLISHER PROFITS

*by Kaylyn Hipps, Assistant Editor of* ARL

Brendan J. Wyly's article in the October 1998 issue of *ARL* (no. 200), "Competition in Scholarly Publishing? What Publisher Profits Reveal," demonstrated that several large, publicly traded scholarly publishers enjoy profits that are well above average for the periodical publishing industry as a whole (see <http://www.arl.org/newsltr/200/wyly.html>). The text and tables presented here update the sales, income, and stock equity figures as well as the profit ratios for the companies discussed by Wyly. In the latest fiscal year reported (FY98), each of these publishers experienced a net margin and return on equity above the median for the periodical publishing industry, with two publishers realizing net margins near or in the upper quartile for the industry.

As in last year's study, the publicly traded scholarly publishers analyzed are Wolters Kluwer, Reed Elsevier, and John Wiley & Sons.[1] Two nonpublishers—Thomson and

TABLE 1: SALES, INCOME, AND COMMON STOCK EQUITY FOR THE LATEST FISCAL YEAR REPORTED

| | Net Sales | OperatingIncome (before interest & taxes & excluding extraordinary items) | Net Income (excluding extraordinary items) | Net Income Available for Common Shareholders | Common Shareholder Equity (prior year) |
|---|---|---|---|---|---|
| Wolters Kluwer* Dec. 31, 1998 | $3,215,237,080 | $704,315,397 | $362,812,999 | $362,812,999 | $966,435,802 |
| Reed Elsevier Dec. 31, 1998 | $5,297,060,000 | $1,349,580,000 | $949,520,000 | $947,860,000 | $2,809,000,000 |
| J. Wiley & Sons April 30, 1998 | $467,081,000 | $45,263,000 | $26,875,000 | $26,875,000 | $128,983,000 |
| Thomson Corp. Dec. 31, 1998 | $6,269,000,000 | $912,000,000 | $502,000,000 | $474,000,000 | $4,946,000,000 |
| Microsoft June 30, 1998 | $14,484,000,000 | $6,940,000,000 | $4,490,000,000 | $4,462,000,000 | $9,797,000,000 |

Source: Respective annual reports and SEC filings.
*Wolters Kluwer figures were converted from Dutch guilders to U.S. dollars using the exchange rate as of noon E.S.T. on 31 December 1998 as reported by the Federal Reserve Bank of New York (1.877 guilders=$1).

TABLE 2: PROFIT RATIOS FOR THE LATEST FISCAL YEAR REPORTED

| | Operating Margin | % Change 1997–1998 | Net Margin | % Change 1997–1998 | Return on Equity | % Change 1997–1998 |
|---|---|---|---|---|---|---|
| Wolters Kluwer* Dec. 31, 1998 | 21.9% | +2.8% | 11.3% | +1.8% | 37.5% | -10.1% |
| Reed Elsevier* Dec. 31, 1998 | 25.5% | -1.5% | 17.9% | +0.6% | 33.7% | +19.5% |
| J. Wiley & Sons* April 30, 1998 | 9.7% | +19.8% | 5.8% | +23.4% | 20.8% | +20.9% |
| Thomson Corp.* Dec. 31, 1998 | 14.5% | +33% | 8% | +21.2% | 9.6% | -13.5% |
| Microsoft* June 30, 1998 | 47.9% | +6% | 31% | +2% | 45.5% | -8.6% |
| Periodical Publ. (SIC 2721)+ | U/A | U/A | 11.6% (upper quartile)<br>4.6% (median)<br>1.2% (lower quartile) | +0.9%<br>-8%<br>-29.4% | 62.8% (upper quartile)<br>19.3% (median)<br>6.0% (lower quartile) | +15.7%<br>+2.7%<br>+7.1% |
| Automotive/S&P 500** December 31, 1998 | U/A | U/A | 7.8% | U/A | 56.0% | U/A |
| Banks/S&P 500** December 31, 1998 | U/A | U/A | 12.8% | -11.7% | 13.9% | -12% |

U/A = unavailable
Sources: * Respective annual reports and SEC filings.
+ *Industry Norms & Key Business Ratios 1998-1999*, Dun & Bradstreet, 217 establishments.
** "Business Week's Industry Rankings of the S&P 500," *Business Week*, 29 Mar. 1999, 142.

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Microsoft—are included as before for comparison. Thomson is a vendor of information resources to research libraries and Microsoft is included as a highly profitable firm in a monopolistic market. Table 1 presents FY98 figures on sales, income, and stock equity for these five companies, primarily to demonstrate their relative size. Table 2 provides FY98 profit ratios—measures used to gauge a company's profitability—for the five companies as well as the periodical publishing industry as a whole. Profit ratios for the automotive and banking segments of the Standard & Poor's (S&P) 500 are included as well because these were the most profitable sectors in 1998, as measured by net margin and return on equity, respectively.[2]

Although neither Wolters Kluwer nor Reed Elsevier saw significant changes in their operating or net margins from 1997 to 1998, their net margins remained high—11.3% and 17.9% respectively—compared to the periodical publishing industry median of 4.6%. While Wolters Kluwer's return on equity fell by 10% (from 41.7% to 37.5%), Reed Elsevier's rose by nearly 20% (from 28.2% to 33.7%), and both companies' return on equity remained well above the industry median of 19.3%. In 1998, John Wiley & Sons enjoyed a considerable increase in profits from 1997: each of the three profit ratios analyzed here rose by close to 20% or more. Wiley's operating margin rose by almost 20% (from 8.1% to 9.7%), net margin rose by more than 23% (from 4.7% to 5.8%), and return on equity rose by 21% (from 17.2% to 20.8%). This significant increase in profitability is especially remarkable given the modest changes in net margin and return on equity for the industry as a whole over the same year.

The particularly profitable area of scientific, technical, and medical (STM) publishing accounts for a substantial portion of these three companies' profits. In FY98, scientific and medical publishing comprised 18% of Wolters Kluwer's total sales. The sales for this segment of the company rose by 46.4% from the previous year, largely due to the acquisition of the Thomson Science titles, Plenum, and Waverly. In fact, the former two acquisitions doubled the size of Kluwer Academic Publishers. Similarly, scientific publishing constituted 20% of total sales in FY98 for Reed Elsevier. Elsevier Science experienced a 12% increase in sales from the previous year, half of which was due to acquisitions. Furthermore, the operating margin for the scientific segment of Reed Elsevier was 35.9% in FY98, over 10 percentage points higher than that of the company as a whole. In FY98, STM publishing generated 48% of John Wiley & Sons' revenues. They, too, acquired several new STM journals in FY98, but detailed figures on the company's STM segment are not provided in their annual report.

Wyly argues that the impressive profits of large commercial publishers are a sign of a dysfunctional, noncompetitive marketplace, and that the current system of scholarly communication needs to be replaced with a more innovative one built on authors' and readers' shared interests in broad dissemination. One year later, this snapshot analysis of the profits of selected large publishers of scholarly journals clearly shows that they continue to be among the most profitable companies in the periodical publishing industry. The need to transform the system of scholarly communication remains as great as ever.

1 Plenum Publishing is not included in the updated tables because it was acquired by Wolters Kluwer in 1998.

2 "There is no single ideal measure of profitability," wrote Wyly in his October 1998 article for *ARL*. His article goes on to provide a concise review of how different profit ratios—such as operating margin, net margin, and return on equity—help to assess the health and profitability of any company.

*ARL extends thanks to Julie Priess, University of Maryland Libraries, for collecting the data for this article.*

## Recent ARL Publications on Scholarly Communication

### New Brochure on Scholarly Communication

A new brochure called CREATE CHANGE is now available for use in your campus information efforts on scholarly communication. It outlines the key issues and offers several actions that faculty can take to help create a new system of scholarly communication. Copies of the brochure can be purchased in bulk for 25¢ per copy from ARL Publications <pubs@arl.org>. The text of the brochure is available on the Web at <http://www.arl.org/scomm/change.html>, if you prefer to customize or create your own product.

### Managing the Licensing of Electronic Products SPEC Kit 248, August 1999

*by George J. Soete, with Trisha Davis*

This SPEC survey sought to discover how research libraries have organized the licensing of electronic products and how they approach the associated problems. Licensing guidelines and related job descriptions from institutions, along with a bibliography, will help libraries who are seeking to establish licensing procedures of their own.

### Educating Faculty on Scholarly Communication Issues SPEC Kit 250/TL 10, September 1999

*by George J. Soete, with Mary Case*

Reports of strategies used by ARL libraries to inform faculty about scholarly communication issues are presented, along with a summary of interview findings, a checklist for assessing your library's educational program, and a bibliography of additional resources.

*To order either of these SPEC Kits ($40; $25 ARL members), contact ARL Publications at <pubs@arl.org>.*

*Kathryn J. Deiss, OLMS Program Manager*

*Editor's note: The following document describing guiding principles for academic libraries was developed by an informal working group of librarians energized by the discussions held during a fall 1999 ARL/OCLC Strategic Issues Forum. The group agreed to write a statement articulating the traditional values of academic libraries and how these values may be reflected in the new roles undertaken by libraries in the digital environment. The resulting Keystone Principles were supported and endorsed by the Keystone Forum participants and the South East Research Libraries Group. The statement is included in this issue of* ARL *to give it visibility and to encourage further endorsements and discussion of it within research libraries and the institutions of which they are a part.*

## THE KEYSTONE PRINCIPLES

### Preamble

In September 1999, 80 academic library leaders came together to engage in a series of discussions and working sessions at the ARL/OCLC Strategic Issues Forum for Academic Library Directors in Keystone, Colorado. These discussions created The Keystone Principles, a set of principles and action items to guide academic libraries' efforts and establish a foundation for joint future-oriented action based on traditional academic library values.

The Keystone Principles invoke and express the urgency of three areas requiring explicit action based on a vivid set of user-centered principles.

### Access to Information as a Public Good

Scholarly and government information is created at the expense of public and/or academic institutions. Therefore, there is a public interest in the availability of this information. Yet some commercial interests have disrupted availability through unreasonable pricing policies, restrictive licensing practices, and legislative assaults on the traditional American copyright balance between the rights of the individual creator and the public interest as embodied in the concept of educational fair use. The right to read and know without cost is threatened. Further, in the online environment commercial access services are distorting search results for profit without defining how these results are obtained and organized. Individuals are receiving biased information without any way to recognize or identify the source of the bias.

### Need for Bias-free Systems and for Libraries to Create These New Systems

At the same time as the technological and economic environments of higher education have changed, academic institutions are being forced to look for ways to create and disseminate knowledge in support of the learning and research programs that are more affordable and sustainable over the long term. To date, these systems have been created largely outside academe and most certainly outside libraries, thus they exist without the benefit of the expertise gained by librarians in how information is used and the academic and societal values librarians bring to the enterprise. As new access and storage systems are developed, it is important that the knowledge and values that surround the traditional academic library be incorporated and systems be developed which restore affordability, provide access for, and embody the values of the educational community.

### Affirm the Idea of the Library as a Nexus for Learning and the Sharing of Knowledge

In addition, institutions of higher education are actively seeking ways to assess and improve the quality of learning and research programs. There is increasing public demand for demonstrating value-added outcomes for the dollars invested. Technology is seen as a potential enabler but most campuses lack the human and fiscal resources to make radical changes and to provide the necessary infrastructure for large-scale programs. There is fear among the faculty and many administrators that education will be dehumanized by the introduction of the new technologies in the learning program. A leadership vacuum exists. The academic caché of the "library as heart of the print university" must become "the library as intellectual crossroad, the hub of the knowledge network".

### Principle One

Scholarly and government information is a "public good" and must be available free of marketing bias, commercial motives, and cost to the individual user.

**Action Items:**

1. Libraries will direct resources to mobilize the academic community to adopt Principle One and act in accordance with its spirit.
2. Libraries will direct resources and establish coalitions to create local, state, and national legislation consistent with Principle One.
3. Libraries will direct resources to create outlets for academic institutions, government agencies, and scholarly societies for their information products that operate by policies consistent with Principle One.
4. Libraries will support academic institutions, government agencies, and scholarly societies that maintain outlets that operate consistently with Principle One.
5. Libraries will make purchasing decisions and licensing agreements that embrace the concepts embodied in Principle One.

6. Libraries will create only those software and hardware products that embody the concepts espoused in Principle One.
7. Libraries will support aggressively colleague institutions or colleagues in institutions that challenge unfair licensing and copyright restrictions.
8. Libraries will direct resources to implement this principle by:
   a) establishing true collaborative resource development and programs;
   b) establishing buying consortia; and
   c) partnering with other libraries, publishers, societies, faculty groups, etc., to create a more competitive information environment thereby reducing the cost of commercial information.

## Principle Two

Libraries are responsible for creating innovative information systems for the dissemination and preservation of information and new knowledge regardless of format.

**Action Items:**

1. Libraries will direct resources from traditional library budgets to create a digital publishing capability and new access systems.
2. Libraries will direct resources to create new access systems free of bias and ulterior motive and based on customer information seeking patterns.
3. Libraries will partner with faculty, other libraries, and/or other entities to quickly identify, create, manage, and disseminate new digital content critical to learning and research programs of their institutions.
4. Libraries will create interoperability in the systems they develop and create open source software for the access, dissemination, and management of information.
5. Libraries will accept responsibility for campus "information" management as extension of their traditional role.
6. Libraries will foster the development of systems that ensure long-term access to scholarly knowledge.
7. Libraries will develop new measures of quality and educate the campus, accrediting agencies, and profession to the need for these new measures.
8. Libraries will develop assessment techniques and identify outcome measures that help streamline and redirect resources for these activities.

## Principle Three

The academic library is the intellectual commons for the community where people and ideas interact in both the real and virtual environments to expand learning and facilitate the creation of new knowledge.

**Action Items:**

1. Libraries will direct librarian activities to establishing partnerships with faculty in the design of the learning activities of the institution.
2. Libraries will direct new and existing resources to create real and virtual environments to support research and learning activities, e.g., electronic reserves, online content, access tools, etc.
3. Libraries will create spaces where people and ideas can interact regardless of format or location.
4. Libraries will direct resources and create partnerships that ensure 24 x 7 availability of expertise in support of student and faculty research needs.
5. Through their own efforts and in collaborative endeavors, libraries will create new learning materials and web-based instructional packages to teach users the skills needed for successful information searches.
6. Libraries will create new measures that demonstrate the value-added contributions of the library to the learning and research programs.

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*Members of the Keystone working group are: Karyle Butcher (Oregon State University), Jerry Campbell (University of Southern California), Bessie Hahn (Brandeis University), Sharon Hogan (University of Illinois at Chicago), Charlene Hurt (Georgia State University), Sarah Michalak (University of Utah), Jim Mullins (Villanova University), Lance Query (Western Michigan University), and Carla Stoffle (University of Arizona). Comments on the statement are welcomed and may be sent to any member of the working group; the chair of the working group, Carla Stoffle <cstoffle@bird.library.arizona.edu>; or the ARL staff liaison to the working group, Kathryn Deiss <kathryn@arl.org>.*

*The Keystone Principles are also available on the ARL website at <http://www.arl.org/training/keystone.html>.*
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# SPARC Notes

*by Alison Buckholtz, SPARC Assistant Director, Communications*

## 1999 SPARC Membership Meeting

SPARC's first membership meeting, held October 14–15 in Washington, D.C., attracted over 220 SPARC members, affiliates, and guests from North America, the U.K., Europe, Asia, and Australia. The meeting launched with a publisher-librarian forum that allowed attendees to discuss policy, trends, and the needs of libraries with SPARC partners. The forum led into an afternoon-long advocacy training session that demonstrated to members how to communicate SPARC's message on campus. The second day began with three concurrent panel sessions exploring scholarly communications issues and concluded with a keynote speech from Jonathan Bagger, professor of physics at Johns Hopkins University. For a complete summary of the meeting, please go to <http://www.arl.org/sparc/summary.html>.

## BioOne

The BioOne website is now up and running at <http://www.BioOne.org/>. The website will be updated continually to reflect society titles to be included in the BioOne package of offerings. BioOne has been incorporated into SPARC's Scientific Communities program, which supports development of nonprofit portals that serve the needs of a scientific community by aggregating peer-reviewed research and other needed content.

## New at SPARC

### New Partners

SPARC has created new partnerships with its endorsement of the *New Journal of Physics* and the *Internet Journal of Chemistry*. The two journals are now part of SPARC's Leading Edge program, which supports community-based electronic ventures in science publishing. Leading Edge projects use technology and innovative business models to provide scientists with better ways to disseminate their research. (For complete information on all SPARC partner journals and your institution's purchase commitment, please go to <http://www.arl.org/sparc/commitment.html>.)

*New Journal of Physics* <http://www.njp.org/> is a peer-reviewed, all-electronic journal available at no charge to readers via the Internet. It publishes articles of outstanding scientific quality in all areas of physics. *New Journal of Physics* is produced by the Institute of Physics (IOP), based in London, and the Deutsche Physikalische Gesellschaft (DPG), or Germany Physical Society, based in Bad Honnef, Germany. Both are learned, not-for-profit societies that operate as professional organizations serving physicists. Associate members of *New Journal of Physics* include the Australian, Dutch, and Polish Physical Societies.

The *Internet Journal of Chemistry* <http://www.ijc.com/>, created by an independent group of chemists in the U.S., U.K., and Germany, uses the Internet to offer information in greater depth than paper journals and in ways that can be better understood by chemists. Authors will retain copyright to articles that appear in *Internet Journal of Chemistry*, and the journal will license limited rights to these articles.

Currently available free of charge, *Internet Journal of Chemistry* subscriptions will be offered in 2000 at $48 for individuals, $289 for educational and government institutions, and $489 for corporate sites. SPARC members can order *Internet Journal of Chemistry* with funds earmarked for their SPARC Purchase Commitment. Orders may be placed with the publisher, InfoTrust Ltd. (<subscribe@ijc.com>) or through the library's serials vendor. Both *Internet Journal of Chemistry* and *New Journal of Physics* have made commitments to explore with libraries means for collaborative approaches to archiving their e-journals. Both journals are stored in SGML format to allow efficient refreshing of data.

### 2000–2002 SPARC Steering Committee

Voting for the SPARC steering committee has been completed. The 2000–2002 SPARC steering committee consists of: Karyle Butcher (Oregon State University), Ray English (Oberlin College), Ken Frazier (University of Wisconsin–Madison), Fred Heath (Texas A&M University), Sarah Michalak (University of Utah), James Neal (Johns Hopkins University), and Carla Stoffle (University of Arizona). Ernie Ingles (University of Alberta) will serve as the liaison to Canada. Ken Frazier will continue to serve as steering committee chairman.

### Scientific Communities Initiative Grants

SPARC announced at the membership meeting the winners of its Scientific Communities Initiative grants, awarded to spur digital science publishing ventures based in academe. Columbia University Press's Columbia Earthscape, the California Digital Library's eScholarship, and MIT's CogNet will each receive substantial support from the Scientific Communities Initiative.

The Initiative's goal is to stimulate and accelerate the creation of new nonprofit information communities for users in key fields of science, technology, or medicine. The awardees were chosen on the basis of an independent peer review; compatibility with SPARC values; feasibility of the business model and plan; and likelihood of becoming financially self-sustaining. The three selected projects will receive a total of $519,000 in start-up development funding. Grant awards begin immediately and are implemented over a three-year period. For further information, please see <http://www.arl.org/sparc/grants.html>.

# STATISTICS AND MEASUREMENT

*Martha Kyrillidou, Senior Program Officer*

## THE CONTINUING QUEST FOR NEW MEASURES

*by Julia Blixrud, Director of Information Services*

ARL has been exploring new measures of research libraries for several years. The April 1998 issue of *ARL* (no. 197), available on the Web at <http://www.arl.org/newsltr/197/197toc.html>, provided a comprehensive look at the state of inquiry into library performance measures. The status report presented here and the three articles that follow bring the reader up to date on ARL activities in this arena as well as related work that is ongoing in the United Kingdom.

Within ARL, members of the Statistics and Measurement Committee and the Research Library Leadership and Management Committee are leading Association efforts to develop new measures that research libraries can use to better describe and assess their operations and value. In early 1999, the committees sponsored a retreat to address this topic in a concerted way. Retreat participants identified eight areas of interest for which measures would be helpful: Ease and Breadth of Access, User Satisfaction, Library Impact on Teaching and Learning, Library Impact on Research, Cost Effectiveness of Library Operations and Services, Library Facilities and Space, Market Penetration, and Organizational Capacity Ability.

Draft papers developed for some of these areas take the ideas represented at the retreat a few steps further by identifying possible approaches to investigation. A website, <http://www.arl.org/stats/newmeas.html>, provided a location for posting these drafts and for inviting comment by the community. In addition, an electronic discussion list was established for retreat participants and was expanded to others in ARL member libraries interested in the development of new measures.[1] The areas of interest were tested with the larger ARL community at the May 1999 Membership Meeting. The general sense emerging from these membership discussions, and subsequent conversations with other interested experts in the profession, is that all of these areas are important and that an action agenda should be advanced to engage the challenges identified. It was also recognized that ARL should make every effort to build on the expertise and experience present both within research libraries as well as in comparable venues.

At the October 1999 Membership Meeting, the ARL Statistics and Leadership Committees supported the initiation of specific projects to advance what has come to be called the New Measures Initiative. These projects include: a) an investigation into outcomes activities at the university level that could be used as a basis to determine measures for library contributions; b) a pilot project, spearheaded by Texas A&M, testing the utility of service effectiveness measures using the SERVQUAL instrument; c) an identification of library functions that are seen as cost-drivers for which a cost study could be developed; d) development of an assisted self-study program applying the results of the recent ARL ILL/DD study; and e) an invitational meeting to address electronic resource measures.

Concurrently, the Office of Leadership and Management Services, together with the Statistics and Measurement Program, are developing workshops on assessment. They have also begun collaborating with the U.K. organizers of the Northumbria International Conference on Performance Measurement in Libraries and Information Services to cosponsor an international multicenter teleconference on performance measurement, to be held in conjunction with IFLA 2001 in Boston.

The following articles show that the topic of effective measures for library operations and services is multidimensional and global. First is a report from Texas A&M's Fred Heath and Colleen Cook on their assessment of the usefulness of a SERVQUAL study. Their article outlines the plans for a pilot project that will expand the number of research libraries using the SERVQUAL instrument and also evaluates its utility as a best practices tool.

The next article consists of excerpts from a summary of the recent third Northumbria International Conference on Performance Measurement prepared by Waterloo's Amos Lakos. The full summary report is available on the ARL website at <http://www.arl.org/newsltr/207/lakosfull.html>; the excerpts included here highlight papers presented on the measures of electronic and network services and service quality.

This section on new measures concludes with an article by Ian Winkworth from the University of Northumbria reporting on the groundbreaking work undertaken through the Standing Conference of National and University Libraries (SCONUL). The report describes the process that has led to the availability of a new publication that presents six "management statistics" about U.K. libraries along with further background data about each library and institution—data that was selected to characterize the individuality of the institutions. The article also describes some of the difficulties and complexities of working in the area of new measures development, demonstrating that we should take note of the significance of each step made, regardless of the work that still remains.

[1] If you are interested in joining the ARL new measures discussion list, contact Julia Blixrud at <jblix@arl.org>.

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## SERVQUAL AND THE QUEST FOR NEW MEASURES

*by Colleen Cook, Executive Associate Dean of University Libraries, and Fred Heath, Dean and Director of University Libraries, Texas A&M University*

At the third Northumbria International Conference on Performance Measurement in Information Services, Vicki Coleman of the University of Kansas and Colleen Cook and Fred Heath of Texas A&M University presented results of the Texas A&M experience administering SERVQUAL as an assessment tool for library performance in 1995, 1997, and 1999. For a range of services in a given industry, the SERVQUAL instrument measures the difference between customers' minimum expectations and their perceptions of those services as delivered, focusing on five customer-valued "dimensions" of service. The Texas A&M study analyzed perceptions of library service quality from 700 participants representing four different user groups. The results of the study identify performance issues applicable to all academic libraries as well as local strategic issues useful in managerial decision making at the institutional level. To realize its full potential as a library performance measurement tool, however, the SERVQUAL instrument must be modified.

*...if the research library community could reach consensus to adopt the instrument as a mechanism for setting normative measures...exemplary institutions could [be recognized and] then be further investigated to identify the best practices that yield such service satisfaction...*

The Texas A&M study revealed that the service dimensions evaluated by SERVQUAL—a tool developed for use in the private sector—need to be adjusted for use in the public sector. In the Texas A&M administration of SERVQUAL, scores were highly reliable but a factor analysis failed to capture the five dimensions prescribed by the protocol's designers: (1) tangibles, i.e., appearance of physical facilities, equipment, personnel, and communication materials; (2) reliability, i.e., ability to perform the promised service dependably and accurately; (3) responsiveness, i.e., willingness to help customers and provide prompt service; (4) assurance, i.e., knowledge and courtesy of employees and their ability to convey trust and confidence; and (5) empathy, i.e., the caring, individualized attention the firm provides its customers.[1] Only three service dimensions were isolated at Texas A&M: (1) tangibles; (2) reliability; and (3) affect of library service, which comprises the more subjective aspects of service, such as responsiveness, assurance, and empathy.[2] Specific issues of strategic interest for local library administrators were considered at the individual question level. Additionally, a specific analytical model, Six Sigma, was evaluated for its applicability for quantifying the gap between service expectations and perceptions.

One of the central questions surrounding the use of the SERVQUAL protocol is whether it is useful for cross-institutional analysis and comparisons over time as well as of strategic and diagnostic utility at the local level. From the Texas A&M perspective, there is no question that the SERVQUAL framework serves as a useful tool for management decision making at the local level. The Texas A&M experience finds the protocol less promising as a quantitative tool for simplistic ranking of cross-institutional library performance. Nevertheless, if the research library community could reach consensus to adopt the instrument as a mechanism for setting normative measures, institutions could be identified that consistently come close to meeting users' service expectations. These exemplary institutions could then be further investigated to identify the best practices that yield such service satisfaction on the part of their users.

Building upon the experiences at Texas A&M, ARL supported at its October Membership Meeting a 24-month pilot project to test the efficacy of SERVQUAL as a best practices tool for research libraries. The project will adapt the SERVQUAL instrument to measure performance across the three library dimensions identified at Texas A&M: (1) affect of service, (2) reliability, and (3) tangibles, while defining and introducing assessment of a fourth important dimension, (4) resources. Pilot libraries will administer the instrument over the Web, have the results scored at Texas A&M, evaluate their own results, and seek among the other participants examples of best practices that may assist with correcting local service deficits.

Six to eight ARL member institutions will be selected to administer to their patrons a common, modified version of the SERVQUAL instrument. The participants will be drawn from among the eighteen member libraries that have expressed an interest in participating in the pilot. In order that the entire ARL membership may assess the applicability of the results to their local context, an effort will be made to construct as diverse a test group as possible.

The Texas A&M design team will develop a web form for collecting data, assist each university in developing its survey sample, and score the results. After the

pilot phase, the design will be turned over to ARL. Expectations are that the administration and scoring of future SERVQUAL studies would be conducted on a continuing basis by the ARL Statistics and Measurement Program.

One of the important early steps in this pilot will be the revision of the existing SERVQUAL instrument in order to incorporate a resources dimension, which will measure performance in such areas as collections, journal availability, document delivery, remote access to databases, and the like.[3] Interviews on the campuses of the participating libraries will help establish this dimension.

In the next few months, the Texas A&M design team will meet with participating institutions in order to identify the survey sample at each institution, set up the web forms for data collection, and identify respondents who will be tagged for follow-up longitudinal study. In the spring of 2000, the instrument will be administered at the participating institutions and the data will be collected and scored. Local and aggregate data will be shared with the participants.

At the conclusion of the pilot, a monograph will be issued assessing the cross-institutional data on each of the four library service dimensions and SERVQUAL will be evaluated for its utility as a best practices tool for research libraries. Concurrent with the completion of the monograph, the findings of the pilot project will be disseminated at the fourth Northumbria Conference.

For more information on the ARL pilot project testing the efficacy of SERVQUAL as a tool to identify best practices for library service, contact Colleen Cook at <ccook@lib-gw.tamu.edu>.

1 See A. Parasuraman, Leonard L. Berry, and Valarie A. Zeithaml, "SERVQUAL: A Multiple-Item Scale for Measuring Customer Perceptions of Service Quality," *Journal of Retailing* 64, no. 1 (spring 1988): 12–40; A. Parasuraman, Leonard L. Berry, and Valarie A. Zeithaml, "Refinement and Reassessment of the SERVQUAL Scale," *Journal of Retailing* 67, no. 4 (winter 1991): 420–450; A. Parasuraman, Valarie A. Zeithaml, and Leonard L. Berry, "A Conceptual Model of Service Quality and Its Implications for Future Research," *Journal of Marketing* 49, no. 4 (fall 1985): 41–50; A. Parasuraman, Valarie A. Zeithaml, and Leonard L. Berry, "Alternative Scales for Measuring Service Quality: A Comparative Assessment Based on Psychometric and Diagnostic Criteria," *Journal of Retailing* 49, no. 3 (fall 1994): 201–230; and Valarie A. Zeithaml, A. Parasuraman, and Leonard L. Berry, *Delivering Quality Service: Balancing Customer Perceptions and Expectations* (New York: The Free Press, 1990).

2 Colleen Cook and Bruce Thompson, "Reliability and Validity of SERVQUAL Scores Used to Evaluate Perceptions of Library Service Quality" (Manuscript submitted for publication, 1999).

3 Related research on incorporating a resources dimension into SERVQUAL is presented in Peter Hernon, Danuta A. Nitecki, and Ellen Altman, "Service Quality and Customer Satisfaction: An Assessment and Future Directions," *The Journal of Academic Librarianship* 25, no. 1 (Jan. 1999): 9–17.

# Highlights of the Third Northumbria International Conference on Performance Measurement

*by Amos Lakos, Coordinator, Management Information Services, University of Waterloo Library*

The third Northumbria International Conference on Performance Measurement in Libraries and Information Services,[1] sponsored by the Department of Information and Library Management at the University of Northumbria at Newcastle, U.K, was held 26–31 August 1999. The conference was a truly international gathering, with 137 attendees from 27 countries, including 18 participants from North America. The theme of the conference was the "Value and Impact" of performance measurement activities in libraries. Information North will publish the proceedings in early 2000 for the Department of Information and Library Management, University of Northumbria at Newcastle.[2]

The conference aimed to provide a venue for discussing various library measurements and assessment issues and activities, to exchange experiences, to increase awareness of current research, and to identify issues for further study and work. A total of 43 papers were presented. Some major themes emerged:

- Defining and Measuring Values;
- Electronic Library and Network Measurement Indicators;
- Benchmarking;
- The Scorecard Models and Their Use in Performance Measurements;
- Government Involvement in Library Assessments;
- Quality Service Measurements and Applications;
- Management Information Services; and
- Activity-Based Costing.

## Electronic and Network Services Measures

Developing new measures for electronic library services was the focus of a number of presentations. In an invited paper, **"Measuring Electronic Library Services: Possible Statistics and Performance Measures,"** John Carlo Bertot investigates new library services—such as Internet-based databases, website development and maintenance, and online reference—which are "different" and difficult to measure. His paper covers assumptions, models, methodologies, and standards for networked and web-based data. Bertot describes the issues framing the lack of measurement of electronic library services due to lack of agreement about:

- what to measure;

- how to measure; and
- interpretation of the data.

Bertot's paper discusses his and Charles McClure's work on measuring electronic library services in U.S. public libraries and state-wide networks run by state libraries.[3] Bertot describes measurement variables, their definitions, and assorted measurement techniques used to collect data on those variables. He also emphasizes the need for libraries, associations, and vendors to agree upon measurement indicators, measurement methodologies, data collection techniques, and new reporting standards. This is especially essential with electronic services, since key data are beyond the library's control and in the hands of vendors, remote webhosting companies, and assorted licensors. Bertot concludes that there is much work to be done, especially in developing measurement standards. Without these standards, institutional comparisons will be impossible.

Charles McClure's keynote paper, **"Issues and Strategies for Developing National Statistics and Performance Measures for Library Networked Services and Resources,"** provides an overview of how one might think about strategies and techniques for assessing networked library resources and services. Since there is no agreement on what are good data, McClure hopes that libraries will settle for data that are "good enough" in order to have information to build upon. Although libraries need to gather facts and learn to analyze them, success in advancing our understanding of the quality of networked services may depend on paying close attention to customer stories—i.e., qualitative measures. A number of practical guidelines and measurement strategies are offered for consideration: agree to disagree; focus on a small number of measures; investigate equivalent traditional and electronic measures for clarity; learn from e-commerce websites about useful data to measure and the use of automatic data capture; and utilize electronic helpdesk questions and answers. McClure stresses the need for state and national agencies to speed-up data gathering methods, analysis, and reporting to member libraries. The fact that the electronic environment is changing at a very fast rate is an additional burden for all.

Zoe Clark from CERLIM also presented a paper focusing on electronic library indicators. Clark describes the EQUINOX Project[4] in **"EQUINOX: The Development of Performance Indicators for the Electronic Library."** The EQUINOX Library Performance Measurement and Quality Management System is a project funded by the Telematics for Libraries Programme of the European Commission. The Project addresses the need of all libraries to develop and use methods for measuring performance in the new networked environment, alongside traditional performance measurement, and to operate these methods within a framework of quality management. The Project has two primary aims: first, to develop international agreement on electronic library performance indicators emphasizing information access and delivery, costs, and user satisfaction; and, second, to develop and test an integrated quality management and performance measurement software tool.

## Service Quality Measures

Philip Calvert's keynote paper, **"A Report on Preliminary Investigations of Attitudes to Integrated Performance Measures among New Zealand University Library Staff,"** describes inquiries that attempt to develop user-defined measures that integrate measures of library effectiveness with indicators of service quality, by studying the attitudes of academic librarians to integrated measures in seven New Zealand academic libraries. The study discusses relevant measures of quality and effectiveness as well as the constituency perception of measures of market penetration, stock availability, shelving turn-around, staff performance, etc. Calvert finds that service quality is what matters to the customer. Libraries should concentrate on quality as expectation and measure the gap between customer expectations and actual performance (gap analysis). Service quality gaps are difficult to detect in internally focused institutions. He also advocates a focus on conformance quality, which means the reduction of errors, defects, and delays. Calvert notes that these are issues on which users make judgements and place value. Libraries need measurements to identify this kind of variance and to connect conformance quality with user-defined measures. Calvert advises that libraries should undertake gap analysis methods and concentrate on reducing the gaps between expectations and performance. He advises concentrating on customer related measures of effectiveness, satisfaction, and service quality that asks questions such as: How well? How accurate? How responsive? How valuable? How courteous? How satisfied? All results should be recorded and reported for accountability both to stakeholders and management for decision making. A number of customer measures are discussed in detail, and Calvert concludes that measures alone may be insufficient to convince all stakeholder groups of the library's value. Libraries need leaders that can convince funding agents of the value of the library's measured outcomes, and these leaders should insist upon better reporting tools and management information.

A number of other papers touched on issues of quality service:

Vicki Coleman, Colleen Cook, and Fred Heath comprised the panel on **"SERVQUAL: A Client-Based Approach to Developing Performance Indicators."**

They reported on six years of experience at Texas A&M Libraries with the SERVQUAL instrument. SERVQUAL measures the gap between minimum expectations of clients on a range of library services and the perceived delivery of those services. The panel describes the Texas A&M results in detail and the use of the Six Sigma analysis tool in conjunction with the SERVQUAL instrument in analyzing the data. This is an alternative approach to monitoring service and benchmarking.

Marjorie Murfin and Michael Havener presented their paper on **"Perceived Value, Importance and Impact of Information: How Are They Related? How Do They Influence the Reference Transaction?"** This paper analyzes the nature of "patron importance" ratings and their impact on reference transactions. The findings are based upon over 10,000 transactions in public libraries and the same number of transactions in academic libraries, as measured by the WOREP tool between 1983 and 1998. The Wisconsin-Ohio Reference Evaluation Program is well established and its utility has been proven. Michael Havener of the University of Rhode Island Graduate School of Library and Information Studies directs the program, which is set up on a cost recovery basis. Findings indicate that when patrons assign "importance" to their reference needs, these rankings are influenced by factors of alternate availability and external consequences, i.e., a value measure is situation dependent. Patrons, who could identify the impact of not getting their information, assigned a much higher value to it. Findings also show a correlation between how patrons communicate to the librarian the "importance" of their needs, and the librarian's perception of that "importance." Findings assigned values of cost effectiveness related to perceived "importance" of questions, groups of identifiable customers, and library staff status. Professional librarians' time at the reference desk is more cost effective, since the failure rate is lower, even if they spend additional time on each transaction. The cost of failed reference transactions should be an important factor in measuring reference effectiveness.

Shelley Phipps presented her and Carrie Russell's paper **"Performance Measurement as a Methodology for Assessing Team and Individual Performance."** The paper describes the context of developing a methodology for assessing team and individual performance as part of the University of Arizona Library's multi-year organizational restructuring from a hierarchical, internally focused organization to a team-based, customer focused, learning organization. The paper describes the development of a new Performance Effectiveness Management System (PEMS), which has three objectives:

- build an evaluation system based on the principles of a team environment;
- measure team effectiveness from a customer point of view; and
- assess individual performance in a way that would support motivation, self-responsibility, and continuous learning.

The system uses Rowena Cullen's Values/Focus/Purpose matrix presented at the second Northumbria Conference[5] and it advances the values of an externally focused, learning library. Phipps and Russell also describe the first-year implementation challenges and the resulting progress, which indicates positive advances both for individuals and teams at the University of Arizona Library.

Ian Winkworth reported on a University of Northumbria project carried out by him, Michael Heine, and Kathryn Ray, titled **"Measuring User's Service Seeking Behaviour."** The objectives of the research project were to clarify in a conceptual way the sequential patterns of library use, to explore how well service design matches use patterns, and to design a survey and analysis methodology. The results are very encouraging. A successful data collection method was developed, new analytical tools are in place, and the pilot results suggest that this new approach may help libraries learn about patterns of user behavior. The analysis package needs more work to make it more user friendly.

## Launch of New Journal

During the conference, a new journal, *Performance Measurement and Metrics: The International Journal for Library and Information Services*, was launched by Aslib. The first issue is available on the Web at <http://www.aslib.com/pmm/volume/number/index.html>.

*A more detailed report on the conference is available at <http://www.arl.org/newsltr/207/lakosfull.html>. The full report contains a summary of key papers presented on each of the major themes addressed at the conference.*

*The next Northumbria Conference is scheduled to take place in August 2001 in Boston.*

[1] See the third Northumbria International Conference website at <http://ilm.unn.ac.uk/pm3.htm>.

[2] Proceedings of the earlier Northumbria Conferences are available at <http://ilm.unn.ac.uk/pm3procs.html>.

[3] Charles McClure and John Carlo Bertot, "Developing National Public Library Statistics and Performance Measures for the Networked Environment," 8 Nov. 1999, <http://www.albany.edu/~imlsstat/>.

[4] See the EQUINOX website at <http://equinox.dcu.ie/index.html>.

[5] Rowena Cullen, "Does Performance Measurement Improve Organizational Effectiveness? A Post-Modern Analysis," in *Proceedings of the Second Northumbria International Conference on Performance Measurement in Libraries and Information Services* (Newcastle upon Tyne: Information North, 1998), 3–20.

# PERFORMANCE MEASUREMENT OF U.K. UNIVERSITY LIBRARIES

*by Ian Winkworth, Chair, SCONUL Advisory Committee on Performance Indicators, and Director of Information Services, University of Northumbria at Newcastle*

*This article summarizes current activity in measuring the performance of United Kingdom university libraries, focusing particularly on work with Government and with university representative bodies.*

Just like their North American cousins, United Kingdom university libraries have a long tradition of collecting and publishing comparative library statistics. The association that represents all 135 U.K. university libraries and national research libraries, the Standing Conference of National and University Libraries (SCONUL), publishes an annual volume of statistics on member library inputs, throughputs, and outputs.[1] Additionally, in recent years, the Higher Education Colleges Learning Resources Group (HCLRG) has collected and published a smaller set of data for most higher education college libraries in England, Wales, and Scotland, based on the SCONUL definitions (see <http://www.hclrg.ac.uk/>).

For the past ten years, the SCONUL data have been brought together in a database for trend analyses over time. This work, and production of the annual statistics publication, has been contracted to a specialist agency—the Library and Information Statistics Unit (LISU) at Loughborough University—that also handles the aforementioned HCLRG data as well as data about U.K. public libraries. More information about LISU and its publications, which cover all types of U.K. libraries, is available on LISU's website at <http://www.lboro.ac.uk/departments/dils/lisu/lisuhp.html>.

Through its Advisory Committee on Performance Indicators (ACPI), SCONUL has sought to develop the collection and use of statistics into the production of useful performance indicators that are recognized nationally beyond the contributing libraries, revealing trends across time and comparing descriptive and evaluative data between libraries. There was initial expectation and enthusiasm that we could rapidly agree on a small set of indicators that would support and fine-tune subjective judgements about the quality of libraries. By the early 1990s, after several years' efforts, the Advisory Committee faced the common truth that the exercise would be more technically complex and politically difficult than expected.

But persistence has finally brought partial success with the imminent publication of a small set of *U.K. Higher Education Library Management Statistics, 1997/98*.[2] This publication brings together SCONUL data, parallel data collected for higher education college libraries, and university-level data—university income, enrollment, etc.—drawn from official Government statistics about universities. The data are presented as six "management statistics" along with further background data about each library and institution, chosen to characterize the individuality of institutions and cast light on the variations in the management statistics. The management statistics are:

- total library expenditure per FTE user (i.e., full-time equivalent target user group of students and academic staff);
- expenditure on information provision per FTE user;
- expenditure on staffing per FTE user;
- seat hours available per week per FTE user;
- loans per year per FTE user; and
- interlibrary loans as a percentage of all loans.

The publication identifies for future inclusion three areas where data are not currently collected or are not yet sufficiently robust: stock on loan, electronic services, and user education. We also acknowledge the need to address a few gaps where institutions provide incomplete data and we expect that the increasingly official nature of this usage will encourage nearer to 100 percent compliance. The Advisory Committee had hoped to have the statistics published as a supplement to the Higher Education Statistics Agency's official volume of comparative university statistics, but HESA was unwilling to publish data it had not itself collected. Instead, the library management statistics will be published by SCONUL in a format as close as possible to that of HESA's official statistics publication.

This modest outcome has taken six years of studies and negotiations. In 1993, the report of a national committee of enquiry, the Follett Report, first advocated that "a coherent and generic set of performance indicators for libraries should be developed as soon as possible."[3] The developmental stages have included:

- an initial working party report;
- a national consultation on the working party's recommendations;
- a data-cleansing project to identify and correct errors and gaps in historical data;
- a one-year funded research project to explore in detail the validity and usefulness of fifty potential performance indicators;
- a second national consultation on revised recommendations; and
- detailed review and approval by a group set up by the heads of universities—the Higher Education Management Statistics group.

All this work, of course, sits beside the continuing process of collecting the basic data from university libraries.

Why has this process proved so difficult? First, there is less underlying commonality of view than expected about what makes a good library, leading to emotional debate about which indicators to use. Second, there are some aspects of library performance for which indicators are less easily defined—areas like user education, reference services, overall performance, and effectiveness in terms of economy or efficiency. Third, different stakeholders—librarians, institutions, users, library staff—have different priorities and needs. Fourth, the task of making definitions watertight and effectively understood by data providers has proved as taxing as expressing the definitions to users of the resulting statistics and indicators. However, it might be argued that the process of collectively defining the issues has itself been progress, and a learning exercise that probably could not have been avoided. Let's hope the outcomes produce some additional useful benefits!

The SCONUL Advisory Committee on Performance Indicators is pursuing other approaches to this issue. The Committee has sponsored a national benchmarking exercise involving small groups of volunteer libraries in jointly producing and testing benchmark processes for particular aspects of library activity, for example reference desk service. SCONUL will publish the outcomes of this project as a book late in 1999. A second working group is producing a national user-satisfaction questionnaire. We are monitoring work elsewhere to develop management statistics covering electronic services: there is no point in replicating funded research.

The Advisory Committee has also established cross-representational links with the Statistics Working Group of the organization that represents U.K. University IT Services—the Universities and Colleges Information Systems Association (UCISA). UCISA has recently begun to collect statistics about IT activity (see <http://www.ucisa.ac.uk/docs/statsur/stats98.htm>). The aims of this collaboration are: to share knowledge and save effort; to use compatible definitions where appropriate; to deal with the shifting boundaries brought about by growing use of electronic technology; and to ease the situation of the growing number of "converged" Information Services units in U.K. higher education. More than half of U.K. universities have brought their libraries together organizationally with all or some of their IT services. Some of the resulting units are highly converged and thus have difficulty separating out their resources and activities into traditional "library" and "IT" pockets in order to contribute data separately to both SCONUL and UCISA.

Another SCONUL working party, known for brevity as the SCONUL Quality Group, has been approaching library performance measurement from a different viewpoint. In the U.K. there has been strong Government pressure on the higher education funding agencies and on universities to demonstrate the existence of effective quality measures for teaching, learning, and the student experience, and to publish the results of these measures. The significant influence of this concern reflects the dominance of national Government funding of teaching activity in U.K. higher education and a cross-party political determination in a "customer is king" society to ensure good value for money. As a result, there has evolved what might be described as a national accreditation agency for universities—the Quality Assurance Agency (QAA) (see <http://www.qaa.ac.uk/>).

Jointly owned and financed by the funding agencies and the educational institutions, the QAA regularly inspects institutions and particular subject program areas and issues public reports grading and commenting on its findings. When this process was first initiated, coverage of learning resources management and provision was sketchy and inconsistent. The SCONUL Quality Group was set up as a joint project between SCONUL, HCLRG, and UCISA, and representatives of the predecessors of the QAA, in order to develop an appropriate weighting and methodology for review of the quality of learning resources. The outcome has been that "learning resources" (which covers departmental teaching facilities as well as central services) is one of six aspects of provision that are evaluated in each subject report in each institution, using a standard set of question guidelines evolved with input from the SCONUL Quality Group. We have consequently achieved a good standard of consistent reporting and a source of detailed data—beyond statistical measures!—about the effectiveness of university libraries in support of teaching. Furthermore, explicit inclusion in the QAA visit checklist has had very positive effects in encouraging good communication between subject departments and university library services and the development of joint approaches.

SCONUL would be happy to provide more information about any of the above activities, and to hear of comparative North American developments. The author can be contacted by email at <ian.winkworth@unn.ac.uk>. The SCONUL Secretariat can be contacted at <sconul@mailbox.ulcc.ac.uk> or via its website <http://www.sconul.ac.uk/>.

1 Standing Conference of National and University Libraries, *SCONUL Annual Library Statistics, 1997/98* (London: SCONUL, 1999). (Volumes for previous years also available.)

2 SCONUL/HCLRG, *U.K. Higher Education Library Management Statistics, 1997/98* (London: SCONUL, 1999).

3 Joint Funding Councils' Libraries Review Group, *Report* (Bristol: Higher Education Funding Council for England, 1993).

*DeEtta Jones, Director of Diversity Initiatives*

# ARL INITIATIVE TO RECRUIT A DIVERSE WORKFORCE; VPO APPOINTMENTS

The ARL Initiative to Recruit a Diverse Workforce was developed this fall in response to a challenge by member leaders to create a strategy for recruiting professionals of color to research libraries. The centerpiece of the Initiative is a new program of stipends that will be made available to minority M.L.S. students who demonstrate talent and interest in a career in research libraries. The Initiative has established a fund at ARL that will generate revenue from yearly interest earnings to award $5,000 stipends. The fund consists of voluntary contributions by ARL member libraries: $5,000 for each of two years or a one-time total contribution of $10,000. In exchange for the stipend, the recipient would agree, upon graduation, to work in a residency program or other entry-level professional position in an ARL library for a minimum of two years.

*Dawn Kight, Southern University, Baton Rouge*

*Vicki Coleman, University of Kansas*

The Initiative to Recruit a Diverse Workforce was discussed at the October 1999 ARL Business Meeting and member support was strong. By the end of the Membership Meeting, over 40 percent of the member institutions had made a commitment to join this program. ARL is also approaching private funding agencies to leverage the Initiative's endowment base, increasing the ability to offer more stipends each year. ARL is currently working with an advisory group to continue laying the groundwork for this Initiative, with plans to offer 10 stipends for students enrolled in the fall of 2000 and 15 stipends each year thereafter.

Participating ARL libraries will have greater opportunities to hire talented librarians from underrepresented groups and to help mentor these librarians as they enter the research library profession. Most importantly, participating institutions are playing a major part in attracting more librarians from underrepresented groups into careers in ARL member libraries. Each year, talented minority librarians choose positions in public and special libraries and other new opportunities in the information field rather than careers in research libraries. Many of these graduates would find fulfilling careers in research libraries, if we could attract their attention at the beginning of their graduate studies.

This new program of stipends complements ARL's Leadership and Career Development (LCD) Program. The stipend program will recruit talented minorities into research libraries before or as they enter graduate studies; the LCD Program fosters the professional advancement of midcareer librarians of color.

The new recruitment Initiative also helps ARL libraries take advantage of other recruitment opportunities. For example, participating libraries may encourage current nonlibrarian staff members to apply for these stipends. Many ARL member libraries employ people of color who are interested in attending library school and who could be mentored into the profession.

To support this new effort, ARL is pleased to be working with two new Visiting Program Officers, Dawn Kight and Vicki Coleman. Ms. Kight is Manager, Systems and Technology, at the John B. Cade Library at Southern University in Baton Rouge, Louisiana, and is a member of the current ARL Leadership and Career Development Program class. Ms. Coleman is Engineering Librarian at the University of Kansas Engineering Library, and participated in the inaugural class of the LCD Program. Ms. Kight and Ms. Coleman are helping to develop a strong foundation for the Initiative to Recruit a Diverse Workforce and are expanding ARL's web-based resources for recruitment efforts. In addition to contributions to the Diversity Program, Ms. Kight is working with Trish Rosseel, OLMS Program Officer for Distance Learning, to explore funding and technological development for the Online Lyceum. Ms. Coleman is also working with Julia Blixrud, Director of Information Services, and Martha Kyrillidou, Senior Program Officer for Statistics and Measurement, to formulate an action plan for the New Measures projects, including the SERVQUAL pilot project described by Colleen Cook and Fred Heath on pages 12–13 of this issue of *ARL*.

For more information about the Initiative to Recruit a Diverse Workforce or other diversity efforts, please contact DeEtta Jones, Director of Diversity Initiatives, at <deetta@arl.org>.

*Lee Anne George, Program Planning Officer*

## ARL MEMBERSHIP CONVENES

The 135th ARL Membership Meeting, held October 13 and 14 in Washington, D.C., experimented with a new design. In response to the ARL Board of Directors' directive to reduce the cost of meetings, the focus was on conducting business through committee meetings and the ARL Business Meeting. The Business Meeting was structured to allow the membership time to discuss in detail three issues: Internet2 activities; progress on developing new measures to describe research libraries; and a new ARL Initiative to Recruit a Diverse Workforce. The Federal Relations Luncheon program included a briefing on the negative impact of efforts to push adoption of the Uniform Computer Information Transactions Act (UCITA) in each of the 50 U.S. states.

### Elections

At the ARL Business Meeting, membership elected three new representatives to the ARL Board of Directors: Fred Heath (Texas A&M), Paul Mosher (University of Pennsylvania), and Sarah Thomas (Cornell University). Each will serve a three-year term on the Board, October 1999 to October 2002.

ARL President Betty Bengtson (University of Washington) acknowledged the contributions of Board members whose terms expired this October—Jim Neal (Johns Hopkins) and Bill Potter (University of Georgia)—and presented each a certificate of appreciation. She also announced that Shirley Baker (Washington University, St. Louis) had been elected Vice-President/President-Elect of ARL by the ARL Board of Directors. Ms. Baker serves as Vice-President for a year before becoming President in October 2000.

At the conclusion of the Business Meeting, Ms. Bengtson handed the gavel to Ken Frazier (University of Wisconsin), who began his term as President of ARL. The one and one-half day ARL Membership Meeting was followed immediately by the SPARC Membership Meeting.

A summary of the ARL Business Meeting and the presentation by Robert Oakley (Georgetown University Law Center) on UCITA will be posted on the ARL website. The Board will review the reactions from Meeting attendees to determine whether to repeat this design at future October Membership Meetings.

## HONORS

**Patricia Battin**, former ARL Board member, President of the Commission for Preservation and Access, and University Librarian at Columbia University, is one of eight awardees of the National Humanities Medal for 1999 by the National Endowment for the Humanities (NEH). President Clinton presented the award on September 29 at the White House. The National Humanities Medals are a part of the continuing effort by NEH to recognize distinguished Americans for their outstanding efforts to deepen public awareness and love of the humanities. See the press release at <http://www.neh.gov/html/public_affairs/medals99.html>.

**Sheila D. Creth**, University Librarian, University of Iowa Libraries, was named winner of the 1999 LITA/Gaylord Award for Achievement in Library and Information Technology. The award recognizes outstanding achievement in the creative use of information technology for improving or enhancing library services.

## TRANSITIONS

**Center for Research Libraries:** Beverly P. Lynch, Professor, UCLA Graduate School of Education and Information Studies, will become Interim President of CRL on January 1.

**Connecticut:** Director of Library Services Brinley Franklin is now responsible for all library operations at the University.

**Dartmouth:** Margaret Otto will resign as Librarian of the College in October 2000.

**Kent State:** Don Tolliver resigned as Dean of Libraries to accept the position of Vice-President for Information Services/Chief Information Officer for the University. Mark Weber is serving as Interim Dean of Libraries.

**Saskatchewan:** Frank Winter is on administrative leave from 1 September 1999 through 31 August 2000, during which time Ken Ladd is serving as Acting Director of Libraries.

### Other Transitions

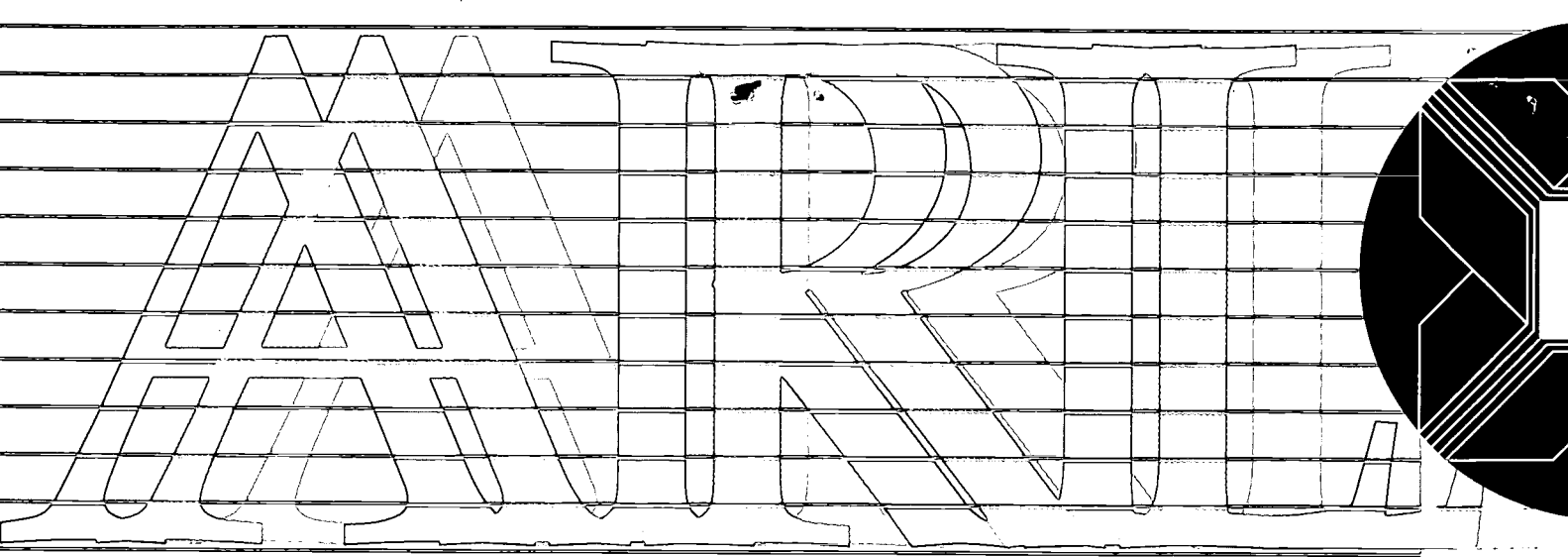
**American Library Association:** In mid-October, Emily Sheketoff, former Deputy Assistant Secretary of Labor for the Occupational Safety and Health Administration, succeeded Carol C. Henderson as Associate Executive Director for the ALA Washington Office.

**National Institutes of Health:** Harold Varmus will resign as Director of NIH at the end of this year to head the Memorial Sloan-Kettering Cancer Center in New York City.

**OCLC:** Martin Dillon will relinquish his role as Executive Director of the OCLC Institute by 30 June 2000, but will remain on the Institute faculty.

### Correction

*On page 13 of* ARL *205 (August 1999), the provider of the $500,000 grant to the University of Virginia for the Early American Fiction Project: Phase II was erroneously identified. The grant was awarded by The Andrew W. Mellon Foundation.*



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**Executive Director:** Duane E. Webster
**Editor:** G. Jaia Barrett, Deputy Executive Director
**Assistant Editor:** Kaylyn Hipps
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# CALENDAR 2000

| | |
|---|---|
| **February 3–4** | **ARL Board Meeting**<br>*Washington, DC* |
| March 2–3 | Library Human Resources Symposium<br>*Washington, DC* |
| March 27–28 | CNI Spring Task Force Meeting<br>*Washington, DC* |
| March 28–30 | Library Management Skills Institute I: The Manager<br>*Las Vegas, NV* |
| April 12–14 | Project Management Institute: Getting Things Done or Getting the Outcomes You Want<br>*Washington, DC* |
| May 10–12 | Facilitation Skills Institute<br>*Denver, CO* |
| **May 16–19** | **ARL Board and Membership Meeting**<br>*Baltimore, MD* |
| June 5–7 | Managing Group Process: Advanced Facilitation Lab<br>*San Antonio, TX* |
| **July 24–25** | **ARL Board Meeting**<br>*Washington, DC* |
| October 4–6 | Leading Change Institute<br>*Washington, DC* |
| **October 17–20** | **ARL Board and Membership Meeting**<br>*Washington, DC* |
| October 23–26 | Library Management Skills Institute II: The Management Process<br>*Atlanta, GA* |
| November 1–3 | Project Management Institute: Getting Things Done or Getting the Outcomes You Want<br>*Seattle, WA* |
| November 13–15 | Library Management Skills Institute I: The Manager<br>*Evanston, IL* |

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