

# DAIRY

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

## AN INTRODUCTION TO ITHAKA

by Kevin Guthrie, President, Ithaka<sup>1</sup>

*Editor's note: Ithaka is a recently launched not-for-profit organization supported by the Mellon, Hewlett, and Niarchos Foundations, which aims to accelerate the development of sustainable initiatives that use new technologies to benefit higher education.*

In an amazingly short period of time, electronic and networking technologies have had a dramatic impact on the academy, scholarly communication, and the manner in which knowledge is disseminated. Even if we were to discount technological innovations such as e-journals, e-books, "knowledge environments," or e-print servers, more pedestrian technologies like e-mail have fundamentally altered the ability of students and scholars to collaborate across time and distance. E-mail, electronic discussion lists, Web sites, and other communications platforms have offered opportunities for new and joint efforts of many different kinds to achieve results not even imaginable just a few years ago.

Yet even as these changes have had a substantial impact on many of the primary activities of scholars and students, the challenges of implementing the more profound changes in the system are far more significant and difficult to overcome. To illustrate, it is one thing to be able to search a database and find a useful article; it is quite another to create a knowledge environment that is a fundamental component of a scholar's or student's overall research, discovery, and teaching process. Such "second order" enhancements collide with inertial forces associated with more deeply ingrained institutional and individual processes, and require the development of new infrastructure. For example, in the area of scholarly communication, certain changes will be slow to move forward without progress on preservation solutions for electronic

documents, massive digitization of core literature, new business models for information dissemination, and methods for handling intellectual property that are both responsible and efficient. In some respects, the higher education sector has changed dramatically in a very brief period; in others, it has changed very little. This is not at all surprising, since the transformative changes associated with information technologies have occurred over the course of less than a decade, while the internal processes in place at colleges, universities, and other educational institutions have been in the making for more than a century.

We are at a point when progress on the more profound developments outlined above is essential and perhaps even urgent. The actions and behaviors of scholars and students are in many cases evolving at rates faster than important components of the institutional culture and processes of their host institutions. Infrastructure needs to be developed or there could be undesirable results. One practical example is the challenge of electronic archiving. Scholars and students are increasingly relying on the electronic versions of journals and documents, and yet there is no systematic and reliable infrastructure in place to insure that today's electronic documents will be preserved and accessible in the future.<sup>2</sup>

While many of the changes wrought by new technologies are being handled internally within colleges and universities, technology sometimes allows, and in other cases forces, us to seek broader solutions. In the earliest days of JSTOR, for example, consideration was given to whether it made sense for a given college to digitize journals for its own local use.<sup>3</sup> Instead, the development of the World Wide Web made a system-wide solution far more efficient than a series of locally developed initiatives. Moreover, a

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Continued

centralized approach provided a mechanism for a broad range of institutions to contribute to and support a new solution. For example, numerous smaller and less well-endowed institutions have participated in JSTOR, gaining access to a valuable resource while also helping support the long-term and ongoing maintenance of the digital archive. There are many potential applications for technology to higher education that will require, or benefit from, new approaches and creative new forms of collaboration.

In the commercial sector, when new forces such as these are introduced, change most often occurs through the actions of new entrants that take advantage of the combination of new opportunities and an evolving environment to establish and grow companies that utilize new ways of doing business. New entrants are supported by an industry of venture capital firms and investment banks motivated by the opportunity to generate profits. These institutions provide more than money. Motivated by a desire to maximize financial return for their portfolios, venture capitalists share their knowledge, skills, and resources with portfolio companies, replace management if necessary, make important connections between organizations with complementary activities, and generally provide strategic advice and even oversight when that is necessary. In the not-for-profit sector, and in higher education more specifically, there is a lack of comparable depth of human and financial resources focused on starting up and supporting sustainable, innovative, not-for-profit enterprises.

We believe there is a place for an organization with the operational experience, relationships, and resources that can partner with foundations to accelerate the development of promising not-for-profit projects and help them achieve long-term sustainability. In Ithaka, we are creating such an organization. Although a specific framework for selecting projects has not been established, Ithaka will pursue opportunities where there is a particular need for support that a foundation would not be well-positioned to provide. In some cases, support might be provided in the form of physical and technological infrastructure, in others, it might be provided through a combination of business discipline, experience, and contacts, while in others it may just be provided in the form of a not-for-profit organizational home during a start-up period. The common theme will be that the project delivers content or infrastructure that is important to scholarship and learning in the digital age, that there is reason to hope that the projects are of broad enough potential value to attract sufficient resources to be sustainable for the

longer term, and that they welcome the experience and resources that Ithaka can provide.

Ithaka has established for itself three primary areas of activity: strategic support, research, and shared services. In building these organizational groups we have focused exclusively thus far on developing the services for a set of closely affiliated and incubated organizations. In addition to JSTOR and ARTstor, which are independent, affiliated organizations, Ithaka is presently working with three newer organizations, E-Archive, Aluka, and the National Institute for Technology and Liberal Education (NITLE).<sup>4</sup> Although

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we have not yet leveraged our experience with these organizations to those outside of this "family" of enterprises, we are confident that

many of these services will have appeal and that we will be able to deliver some of them successfully to other organizations.

## Strategic Support

Providing assistance in strategic areas that support the affiliated organizations is at the very heart of Ithaka's mission. The objective of this function is to help incubated entities and affiliates develop and execute sustainable business plans by drawing on the collective expertise of internal staff and of our extended network. For example, Ithaka's president, general counsel, vice president for finance, and other staff meet regularly with the incubated organizations to discuss both strategic and operational issues, and often they can share valuable previous experience or help to make useful connections between the incubated entities and other relevant projects or organizations. The finance and strategic planning staff within Ithaka support this effort by providing advice in developing sustainable business models and financial plans. In addition, Ithaka helps the incubated organizations tap into a network of experienced leaders from the higher education, philanthropic, technology, and business sectors, who can provide invaluable introductions and guidance, sometimes at the board level.

## Research

Ithaka's research group aims to address specific needs for information and analysis for Ithaka, its incubating entities and affiliates, and others to whom Ithaka may provide strategic support. Since the unit's inception, it has worked on a number of projects in cooperation with specific affiliates and outside collaborators. Many research projects may also have relevance to other efforts in the higher education and scholarly communication communities, and findings are

therefore shared as broadly as possible. In some cases, it may make sense to partner with outside parties to pursue specific research projects, and we look forward to working with others as opportunities arise. Two research projects have been completed and shared extensively during 2004, one focused on the economics of libraries' transition to electronic periodicals and the other a survey of faculty members. More on these projects can be found in the accompanying sidebar.

Even as we work to distribute the findings from the completed studies, we are beginning to work on several

more major projects. In conjunction with E-Archive and an outside consultant, we have already begun to study the changes that are affecting the economics of scholarly journal publishers and publishing due to the transition to the electronic format. And, during the remainder of 2004, we are planning to launch a number of further projects, including an extensive transaction log analysis of JSTOR that will provide the most detailed look yet at how this resource is used, and a project to conduct an assessment of the institutional impact of ARTstor's image-hosting pilot project.

## THE NONSUBSCRIPTION SIDE OF PERIODICALS: CHANGES IN LIBRARY OPERATIONS AND COSTS BETWEEN PRINT AND ELECTRONIC FORMATS

A study by Roger C. Schonfeld, Donald W. King, Ann Okerson, Eileen Gifford Fenton (Washington, DC: Council on Library and Information Resources, 2004), <http://www.clir.org/pubs/abstract/pub127abst.html>.

Many academic and research libraries are in the midst of what may ultimately be a major transition for various parts of their collections—a shift from print to electronic format. Libraries that had long subscribed only to print versions of journals are, in increasing numbers, licensing electronic versions to replace the print. What effects will this transition have on library operations and on nonsubscription expenditures? To answer this question, the authors collected data on staff activities and costs from 11 U.S. academic libraries. They then performed a life-cycle analysis to study the longer-term cost implications of the transition. Their projections suggest that many libraries may have the opportunity to avoid immediate costs and long-term financial commitments of hundreds of thousands of dollars.

In addition to long-term cost modeling, the authors also carefully considered the short-term challenges of managing the transition from print to electronic format. In particular, during the transition period itself, total costs may be driven up substantially as expenditures for the electronic format rise well before print format costs decline commensurately. This partial transition scenario is one in which many libraries now find themselves.

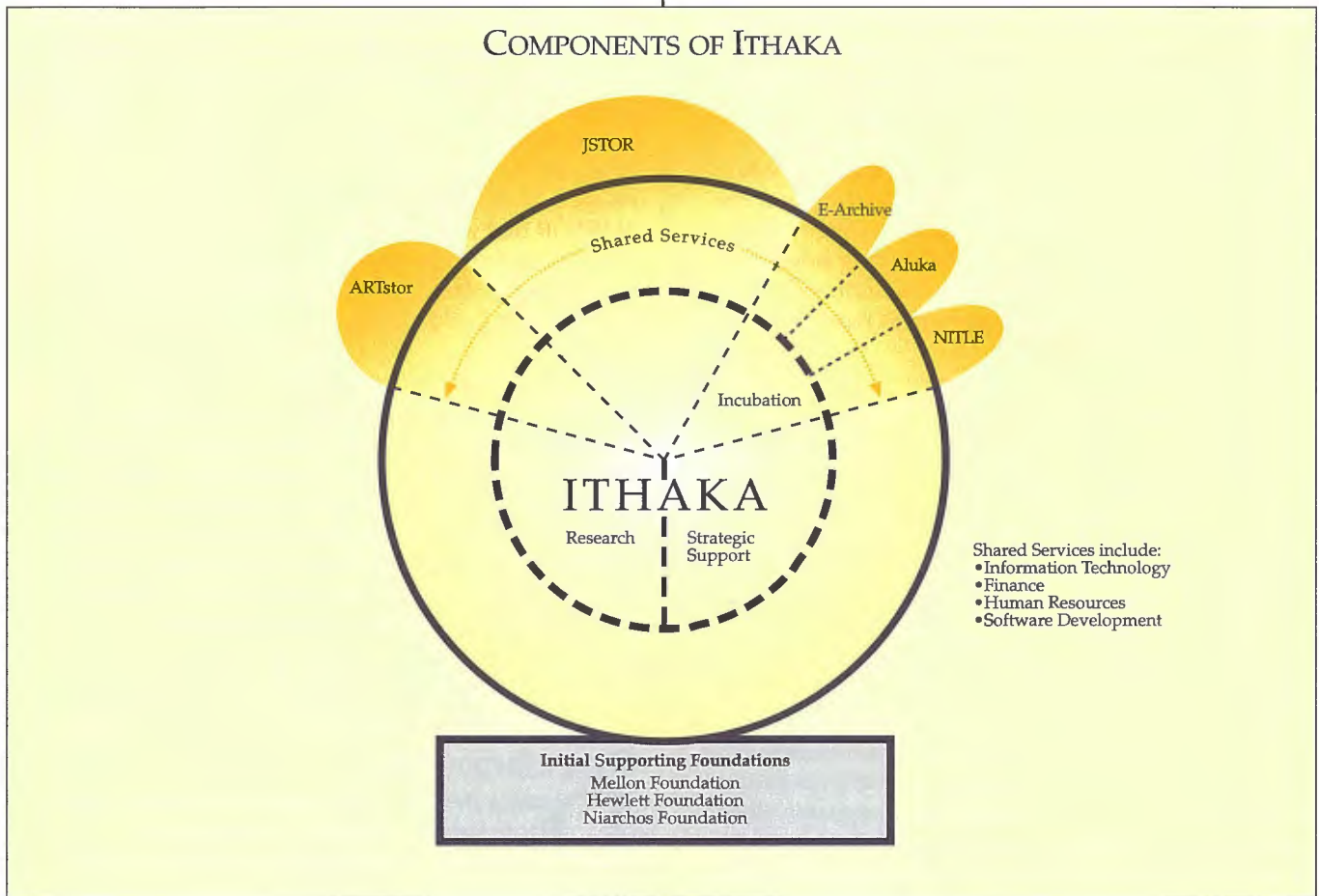
Library collections and operations stand to change significantly as a result of the transition. Notably different activities are required to manage and maintain an electronic collection. The unresolved issue of responsibility for archiving stands out as particularly important, given that the authors found significant expenditures for print archiving but little

parallel electronic expenditures. If archiving is to be achieved for electronic periodicals, it must be paid for. While it is unclear whether libraries alone will be able to fund archiving, the cost advantages found in this study may constitute the most likely source of library funding for this purpose and may therefore present an opportunity for the library community to shape the archiving solutions that eventually emerge.

## SURVEY OF FACULTY ATTITUDES AND PERSPECTIVES ON ELECTRONIC RESOURCES 2003

During the fall of 2003, Ithaka commissioned a large survey of faculty at colleges and universities in the U.S. to learn about their habits and preferences related to electronic research and teaching resources. More than 44,000 surveys were distributed, and 7,400 faculty from numerous academic disciplines responded. The study was designed to permit breakdowns by various criteria, including discipline and size of academic institution, as well as comparison with baseline findings from a similar survey commissioned by JSTOR in 2000.

Some of the findings that have proved to be of greatest interest include perceptions of electronic resources, perceptions of libraries and specific library functions, disciplinary variations in research preferences, attitudes toward archiving of both print and electronic resources, and attitudes toward journal publishing business models. Several articles describing the findings are in preparation. For an early version of some of the findings, please see Kevin Guthrie and Roger C. Schonfeld, "What Do Faculty Think of Electronic Resources? Findings from the 2003 Academic Research Resources Study," presented at the Coalition for Networked Information Task Force Meeting, Alexandria, VA, April 16, 2004, [http://www.cni.org/tfms/2004a.spring/presentations/CNI\\_Guthrie\\_Ithaka\\_Faculty.ppt](http://www.cni.org/tfms/2004a.spring/presentations/CNI_Guthrie_Ithaka_Faculty.ppt).



## Shared Services

An important way in which Ithaka seeks to support the growth of initiatives that share its overarching mission is by providing a set of resources and services to affiliated organizations and incubated entities. The objective is to take advantage of economies of scale and other synergies among these organizations to provide high-quality services at lower costs, allowing affiliates to focus on their core mission-related activities. Ithaka provides services in the areas of finance, information technology, and human resources. In addition, we have launched an initiative to develop shared software that can be used by many of our affiliates.

The Shared Software Development team, a part of shared services, has undertaken the complex task of coordinating and contributing to the development of a common software platform that will allow robust interoperability, while reducing costs for software development and maintenance for the affiliates. This effort will be carried out by a combination of staff working directly for the affiliates and staff working directly for Ithaka. The goal is to leverage the accumulated skill and resources of a larger group to

develop premium-quality software that can be used and re-used across the affiliates. The Shared Software Development group intends to license software or use open-source software whenever possible, in addition to writing its own software.

## Incubating Entities

Ithaka aims to stimulate and guide the development of promising projects, some involving newly created organizations, some involving existing entities. The incubating entities described below—E-Archive, Aluka, and NITLE—are the first to whom Ithaka has provided strategic support, research, and shared services, tailored to their needs. Ithaka intends to provide these projects with the resources and support considered necessary to help them grow into sustainable and innovative enterprises.

### *E-Archive*

E-Archive is developing the infrastructure, relationships, and business model necessary to shape an acceptable electronic archiving solution for academia. The academic and publishing communities have moved into the 21st century with ever-increasing reliance on digital content,

but the infrastructure for preserving this content has not been created. Consequently, establishing a production-level archiving system is a matter of increasing urgency. In recognition of the importance of this problem, JSTOR received a grant from the Andrew W. Mellon Foundation to launch a self-sustaining operating unit dedicated to creating this infrastructure. This initiative, which is presently known informally as "E-Archive," is now being incubated within Ithaka. The mission of E-Archive is to preserve scholarly literature published in electronic form and to ensure that these materials remain accessible to future scholars, researchers, and students. A critical aspect of this undertaking is devising a fair way to share the costs and to generate the resources necessary to ensure long-term access to the literature. In pursuing this mission, E-Archive has adopted a system-wide perspective, taking into account the sometimes conflicting needs of libraries, publishers, and scholars. E-Archive's objective is to grow into an organization capable of fulfilling this mission.

#### *Aluka*

Aluka's mission is to build and support a sustainable, online database of scholarly resources from developing regions of the world, beginning in Africa, with content that is important for research and teaching both in the countries of the region and in the worldwide scholarly community. The word *aluka* is based on the Zulu word "to weave," reflecting Aluka's mission of digitally aggregating scholarly content from around the world. Additionally, in the languages of northern Namibia, the word has a complementary meaning of "to return" or "to repatriate," again reflecting the idea that through modern technology dispersed materials can be made accessible in their place of origin. Aluka will assemble high-quality digital content from selected developing regions, organized as individual clusters of related collections, each of which will be built around a common theme. The content will be significant and valuable because it is about the region—as opposed to being simply from the region, or for the region. This does not imply, however, that all materials will be located within the region; indeed, one of the great benefits of Aluka will be the possibility of aggregating important content about a particular region that has been scattered to other parts of the world. Unlike JSTOR, Aluka will not consist only of journal literature, but will build a database that includes important primary sources—mainly text-based but also including selected multimedia materials, such as images and audio recordings.

#### *NITLE*

NITLE has more recently been added to the group of entities to which Ithaka provides strategic support. NITLE engages with liberal arts colleges to help them

make the best use of new technologies for both academic and administrative purposes. Working from a network of centers around the country, NITLE's staff provides various services, including training opportunities, structured collaborations, and curriculum development support. In addition to the existing services that NITLE offers, it is expected that there will be important collaborative opportunities among NITLE and the other Ithaka-affiliated projects, allowing for a more effective relationship with liberal arts colleges. NITLE's regional model has made it possible for faculty, staff, and administrators to meet colleagues from nearby institutions more regularly, helping to build networks and collaborations beyond those on which NITLE focuses.

E-Archive, Aluka, NITLE are the first three Ithaka incubating entities. In the future, we expect to provide strategic support to a growing group of organizations and initiatives, in an effort to bolster the development of sustainable applications of technology for academia.

#### **Conclusion**

Ithaka is a new kind of organization that seeks to help academia take best advantage of emerging technologies. We look forward to working with partners in the higher education community to help strengthen existing organizations and to spur the development of new not-for-profit entities. We hope that we can help foundations leverage their existing grant-making investments to better serve academia.

We very much believe that there is a role for an organization such as Ithaka, but we are mindful that this enterprise is not without risk. For example, some of our incubating entities will try to develop a business model and may well not succeed. But we believe, along with the poem from which we take our name,<sup>5</sup> that the lessons we learn along the course of our journey are themselves valuable, and the rewards of our ventures, when they are successful, will make the risks of the journey well worthwhile.

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<sup>1</sup> Thanks to Rebecca Griffiths and Roger C. Schonfeld for their assistance in the preparation of this paper.

<sup>2</sup> See, for example, the recent findings in Mary M. Case, "A Snapshot in Time: ARL Libraries and Electronic Journal Resources," *ARL Bimonthly Report*, no. 235 (August 2004): 1–10, <http://www.arl.org/newsltr/235/snapshot.html>.

<sup>3</sup> Roger C. Schonfeld, *JSTOR: A History* (Princeton: Princeton University Press, 2003), 11–12.

<sup>4</sup> More information about JSTOR and ARTstor may be found at <http://www.jstor.org/> and <http://www.artstor.org/>, respectively. For information about the incubating entities, please see <http://www.ithaka.org/>.

<sup>5</sup> Constantine P. Cavafy, "Ithaka," translated by Edmund Keeley and Philip Sherrard, in *C.P. Cavafy Selected Poems* (Princeton, NJ: Princeton University Press, 1992). Reproduced at <http://www.ithaka.org/poem.htm>.

## LIBQUAL+™ IN 2004

by Martha Kyrillidou, Director of Statistics & Measurement

The spring 2004 LibQUAL+™ survey concluded in May with responses collected from more than 112,000 individuals at 202 participating libraries. Over 550 libraries in seven countries have used the LibQUAL+™ assessment tool since the project started as a pilot at 13 ARL member libraries in 2000. The survey measures library users' minimum, desired, and perceived levels of service from three perspectives: information control, affect of service, and library as place. Also included in the survey are questions on perceived outcomes from library use, general satisfaction with library service, and frequency of library use.

Participants this year included college and university libraries, community college libraries, health sciences libraries, law libraries, and hospital libraries. Many libraries participate as part of a consortium—10 consortia participated in 2004. The survey is now available in six languages and has been implemented at libraries in North America, Europe, and Australia. Library users in 46 U.S. states and the District of Columbia have completed the survey, as well as users in six Canadian provinces.

LibQUAL+™ emphasizes the sharing of survey results and nurtures a community of libraries that look to one another for innovative ideas for improving their services. The standardized nature of the survey allows participants to measure changes over time and compare their performance with that of peer institutions. Many participants share their LibQUAL+™ results on their Web sites (see accompanying article on this page).

Results from the spring 2004 LibQUAL+™ survey are available in a series of 11 volumes, presenting summary data for the following groups: Association of Academic Health Sciences Libraries (AAHSL); Association of Jesuit Colleges and Universities (AJCU) Law Libraries; Association of Research Libraries (ARL); Church Educational System (CES) Libraries; European Business School Librarians' Group (EBSLG); Hospital/Medical Library Association Libraries; Oberlin Libraries Group (OLG); OhioLINK Libraries; U.K. Society of College, National, and University Libraries (SCONUL); State University Libraries of Florida; and University of Wisconsin System Libraries. The volumes can be purchased from ARL Publications, [http://www.arl.org/arl/pr/libqual\\_notebooks04.htm](http://www.arl.org/arl/pr/libqual_notebooks04.htm). Highlights from the 2004 survey are available at <http://www.libqual.org/documents/admin/ExecSummary%201.3.pdf>.

Registration for the spring 2005 LibQUAL+™ survey opened on September 7. For more information, see <http://www.libqual.org/>.

*LibQUAL+™ is a service that is collaboratively supported by Texas A&M University Libraries and ARL.*

## SHARING BEST PRACTICES BY DISSEMINATING ASSESSMENT RESULTS VIA THE WEB

by Richard Groves, Statistics & Measurement Research Assistant

If one uses Google to search the Web for "LibQUAL" (excluding the arl.org and libqual.org domains), it returns over 4,500 Web pages and documents that project participants have created about their LibQUAL+™ experiences. These pages include more than 1,700 pages specifically about LibQUAL+™ survey results and almost 500 FAQ documents created to answer questions users may have about the survey.

We have created a listing of several of these LibQUAL+™ pages to give participants an idea of what their colleagues all over the world are doing to increase awareness of the survey on their campuses and share their results. Some examples include:

- Brigham Young University created several customized reports. One compares their 2004 LibQUAL+™ results with those of their consortium partners; another is a comparison of their 2001 and 2003 survey results. The library also provides access to their individual results notebooks, consortium notebook, and ARL group notebook.
- Brown University dedicated an issue of *BiblioFile*, the library newsletter, to their 2002 LibQUAL+™ results. The issue shares with library users what the library learned from their survey participation as well as what the library did to improve services.
- Glasgow University published the comments from their 2003 LibQUAL+™ survey along with direct responses to the concerns raised. The library also created a table that shows a breakdown of respondents by user group, gender, attendance pattern (full-time, part-time, etc.), and discipline.
- Kent State University's Stark Campus Library created a LibQUAL+™ page that describes the dimensions of library service quality measured by the survey and how to read the dimension graphs. The page includes several graphs that compare their 2002 results with those of their fellow OhioLINK participants and all four-year institutions.
- Queen's University was the first to create a page that used LibQUAL+™ Web Services to keep their community updated on how many surveys were completed throughout the survey run. This service enables each participating library to enhance their Web site with a counter that is updated every 15 minutes with the current number of completed surveys.

The list of LibQUAL+™ pages is available at [http://www.libqual.org/Information/Related\\_Sites/](http://www.libqual.org/Information/Related_Sites/).

## HOW ARL UNIVERSITY COMMUNITIES ACCESS INFORMATION: HIGHLIGHTS FROM LIBQUAL+™

by Sarah Lippincott, Statistics & Measurement Intern, and Martha Kyrillidou, Director of Statistics & Measurement

In order to continuously improve services, libraries want to understand the priorities, preferences, and concerns of their communities. Data from the LibQUAL+™ survey reveal how patrons are using library services and suggest some implications this usage may have for the future of the academic library. This article looks at data from the 2003 and 2004 iterations of the LibQUAL+™ survey administered at ARL universities. In 2003, 26,260 students, faculty and staff from 54 ARL university libraries participated in the survey. In 2004, 25,178 students, faculty and staff from 40 ARL university libraries participated. The findings confirm the increasing importance of electronic resources and give insight into how libraries might respond.<sup>1</sup>

### The Rise of the Search Engine

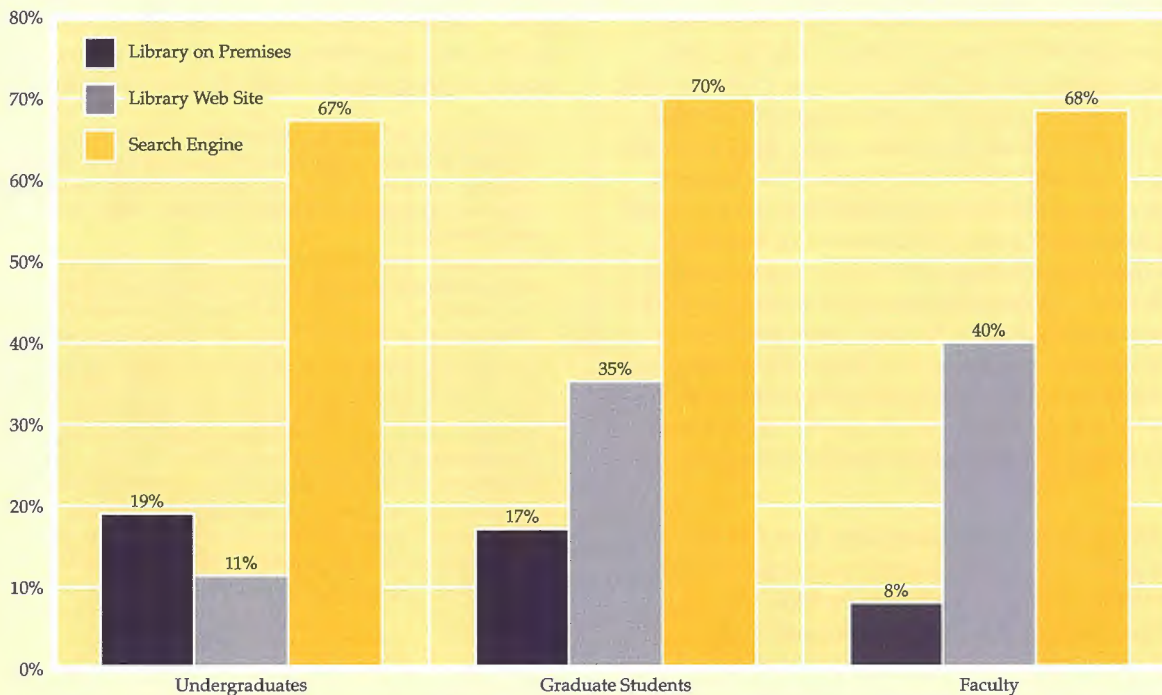
Many of today's university students have grown up with the Internet. They are increasingly using the Web

to find information and conduct research for classes. In a 2002 study by the Pew Research Group, 73% of college students reported using resources on the Internet more than they use those in the library.<sup>2</sup> Data from the 2003 and 2004 iterations of the LibQUAL+™ survey echo these findings, and show that Internet use is not only the most popular method of research for undergraduates, but that its popularity is increasing.

On the 2004 survey, 67% of the 9,586 undergraduate respondents said that they get information from search engines on a daily basis. This is three times the number who report using the library on premises daily (see accompanying figure), and is an increase of 6.4% from 2003. In total, more than 90% of patrons, including undergraduates, graduate students, and faculty, use search engines on a daily or weekly basis.<sup>3</sup>

While some other studies and anecdotal evidence have pointed to an Internet "generation gap"—that is, a disparity in use of the Internet between college students and their professors—LibQUAL+™ data show that, in many cases, faculty are equally or more likely to use the Internet on a daily basis than undergraduates. Out of the 5,410 faculty surveyed in 2004, 68% reported using the Internet on a daily basis, and less than 3% said they never used the Internet.

PERCENTAGE OF LIBQUAL+™ RESPONDENTS AT ARL UNIVERSITY LIBRARIES WHO USE LIBRARY AND INTERNET RESOURCES DAILY, 2004



Source: LibQUAL+™ Spring 2004 Survey: ARL (Washington, DC: ARL, 2004): 198, 212, 226.

## "Library As Place" Remains Important

The importance of the physical library, however, has not been eclipsed by the availability of digital information. The library as place remains an important part of student and faculty life. In 2004, more than 60% of undergraduates reported using the library on premises at least weekly and 75% reported using it at least monthly, while only 2% said that they never use the library on premises. Survey data do show that the physical library is more important to undergraduates than it is to graduate students and faculty. Twice as many undergraduates as faculty visit the library on a daily basis, and undergraduates consistently give much higher ratings for desired level of service in the "Library as Place" dimension of service than faculty do. These data have implications for how libraries approach the design of facilities and services.

## Straddling Two Worlds: The Library Web Site

Users are placing more value on remote access to library resources. On the 2004 LibQUAL+™ survey, having access to the library's electronic resources from home or office was one of the most important areas for undergraduates, graduate students, and faculty alike, with an average desired level of service of 8.39 (on a scale of 1 to 9, with 9 being the highest). Yet according to LibQUAL+™ data, many library patrons, particularly undergraduates are not taking full advantage of the information available from library Web sites. While about 40% of faculty at ARL universities reported using the library Web site on a daily basis (still much lower than the number that use search engines daily), only 11% of undergraduates said they used the Web site with the same frequency, and 5.5% of undergraduates said they *never* use the library Web site—more than twice the percentage of faculty who never use it. This disparity may result from undergraduates not being aware of the services provided by library Web sites, not knowing how to access and use these services, or being lured to other Web sites. Undergraduates gave a rating of 6.04—the lowest rating they gave for any item—for their perception of how well the library keeps them informed of useful services. And undergraduates rated their perception of the ease of use of electronic resources *below* their minimum level of acceptable service for that area.

## Judging the Quality of Information Resources

Conducting research on the Internet requires more than just knowledge of how to perform a search. For every useful Web site, there are thousands of pages of irrelevant or incorrect information, and users must learn to assess the quality of information they find. Despite the growing popularity of doing research on the Web, students acknowledge that there are inherent problems.

According to an OCLC study published in 2002, only half of students agree completely that "information on the Web is acceptable or approved for study assignments."<sup>4</sup>

Results from the LibQUAL+™ survey show that users' ratings are low when it comes to the library helping them "distinguish between trustworthy and untrustworthy information." Ratings for this item were consistently lower than those for most of the other items in the "outcomes" category, i.e., the library helping users stay abreast of developments in their fields, aiding users' advancement in their academic disciplines, enabling users to be more efficient in their academic pursuits, and providing users with the information skills they need in their work or study. Faculty members especially are often dissatisfied with how the library helps them judge the quality of information. In 2004, faculty members gave this item a rating of 5.34, by far the lowest rating faculty gave on any "outcomes" item and more than half a point lower than the rating undergraduates gave the same item.<sup>5</sup>

According to the OCLC survey, undergraduates are not likely to ask librarians for assistance using the Web. Only 21% of students say that they turn to librarians with questions. They prefer to ask friends, professors, or teaching assistants for help. Perhaps libraries could increase their outreach to professors and teaching assistants, who are well positioned to relay information to students about services available from the library. The popularity of Internet research will continue to grow. Libraries have an opportunity to expand their outreach to equip their users with the means and skills to use the Internet as an effective research tool.

<sup>1</sup> Additional analysis of the 2004 LibQUAL+™ survey results is also available in Youhua Wei, Bruce Thompson, and C. Colleen Cook, "Scaling Users' Perceptions of Library Service Quality Using Item Response Theory: A LibQUAL+™ Study" (submitted for publication).

<sup>2</sup> Steve Jones, "The Internet Goes to College: How Students Are Living in the Future with Today's Technology" (Washington, DC: Pew Internet & American Life Project, September 2002), [http://www.pewinternet.org/pdfs/PIP\\_College\\_Report.pdf](http://www.pewinternet.org/pdfs/PIP_College_Report.pdf).

<sup>3</sup> LibQUAL+™ Spring 2003 Survey Group Results: ARL (Washington, DC: Association of Research Libraries, 2003): 105, 117, 128, [http://www.libqual.org/documents/admin/ARL\\_Notebook2003.pdf](http://www.libqual.org/documents/admin/ARL_Notebook2003.pdf); LibQUAL+™ Spring 2004 Survey: ARL (Washington, DC: Association of Research Libraries, 2004): 198, 212, 226, [http://www.libqual.org/documents/admin/ARL\\_Notebook2004.pdf](http://www.libqual.org/documents/admin/ARL_Notebook2004.pdf).

<sup>4</sup> "How Academic Librarians Can Influence Students' Web-Based Information Choices" (Dublin, Ohio: OCLC, June 2002), <http://www.oclc.org/research/announcements/2002-06-24.htm>.

<sup>5</sup> LibQUAL+™ Spring 2004 Survey: ARL, 252.



# ARL ACTIVITIES

Kaylyn Hipps, Assistant Editor of ARL

## ASSESSING ILL/DD SERVICES: NEW COST-EFFECTIVE ALTERNATIVES

There is general agreement that the 1996 ARL Interlibrary Loan (ILL) and Document Delivery (DD) Performance Measures study resulted in significant improvements in the operations of interlibrary loan departments. Based on that experience, in 2002, members of the ARL Statistics and Measurement Committee encouraged a follow-up study to see whether departments had become more efficient and whether costs had been reduced or further contained. The committee also encouraged this new study as a way to demonstrate how benchmarking data can be used to improve the cost-effectiveness of library operations. This study of ILL/DD services in 72 North American research, college, and governmental libraries updates and expands the 1996 study and, importantly, adds a component measuring user-initiated (unmediated) interlibrary loan and document delivery.

According to the new report, user-initiated ILL/DD operations provide better service than mediated ILL/DD services. In most cases, user-initiated services have lower unit costs, higher fill rates, and faster turnaround times than mediated services.

The report also compares performance of the mediated ILL/DD operations of the 44 ARL member libraries that participated in this study and in the 1996 study and found that, when adjusted for inflation, borrowing unit costs in research libraries have decreased 19% and lending unit costs dropped 13%. Turnaround time for mediated borrowing dropped by about 50% since the 1996 study.

The report details characteristics of high-performing mediated operations and lays out strategies for how libraries may improve local performance that center around increasing the use of user-initiated services, reducing turnaround time, and using appropriate staffing levels. To assist ILL managers in understanding the findings and applying these strategies, ARL will conduct workshops on evaluating performance with further analyses of local practices and implementing the changes recommended in the study.

### Ordering Information

*Assessing ILL/DD Services: New Cost-Effective Alternatives*  
Mary E. Jackson, with Bruce Kingma and Tom Delaney  
2004 • ISBN 1-59407-657-X • 154 pp.  
\$70 plus \$10 U.S./\$15 Canada shipping & handling  
Order at: <http://www.arl.org/pubscat/order/>

## KEY FINDINGS OF THE ASSESSING ILL/DD SERVICES STUDY: MEAN PERFORMANCE

	Five User-initiated ILL/DD Services*	Mediated ILL/DD
Borrowing Unit Cost	\$2.39–\$14.70	\$17.50
Lending Unit Cost	\$3.27–\$12.06	\$9.27
Combined Unit Cost	\$6.16–\$26.76	\$26.77
Borrowing Fill Rate	84%–90%	86%
Lending Fill Rate	82%–87%	58%
Borrowing Turnaround Time	2.5–6.6 calendar days	7.6 calendar days
Lending Turnaround Time	0.1–1.5 calendar days	1.5 calendar days
Borrowing Transactions	5,790–37,327	16,698
Percent Returnables	0%–100%**	44%
Lending Transactions	4,540–30,716	41,088
Percent Returnables	0%–100%**	45%

\* Includes ILLINET Online, INN-Reach, RAPID, URSA, and user-initiated commercial document delivery (CDD). Loansome Doc is excluded from summary data because only three libraries submitted data. Local document delivery is also excluded from this summary because of the different nature of the service.

\*\* ILLINET Online, INN-Reach, and URSA handle returnable requests, while RAPID and user-initiated CDD are designed to handle nonreturnable requests.

## THE CURRENT STATE OF PORTAL APPLICATIONS IN ARL LIBRARIES

The ARL Portal Applications Working Group, chaired by Sarah Michalak, University Librarian and Associate Provost, University of North Carolina at Chapel Hill, completed its work in May with the issuance of the report, "The Current State of Portal Applications in ARL Libraries," <http://www.arl.org/access/portal/PAWGfinalrpt.pdf>. The report summarizes a survey of ARL members on the application of search engines and other resource-integration tools and services. The survey, and follow-up interviews with library directors and senior staff, explored how libraries were implementing and offering cross-resource searching, customized data mining, Web-page personalization, and support services such as online reference, links to learning management systems, interlibrary loan, etc. The report highlights the range of definitions and visions driving library portal development, identifies required and desired features and functionality, describes timelines for some of the responding libraries, notes the beginnings of interaction with institutional repositories and institutional portals, and identifies the range of methods used to solicit reactions from the local user community. The report concludes with recommendations for further actions by ARL. For additional information, contact Mary Jackson, Director of Collections and Access Programs, [mary@arl.org](mailto:mary@arl.org).

## SCHOLARS PORTAL PROJECT MOVES INTO SECOND PHASE

The first phase of the Scholars Portal project concluded in May. The seven ARL member institutions collaborating with Fretwell-Downing, Inc., (FD) on the Scholars Portal project have implemented the FD software. Arizona State University, University of Arizona, Iowa State University, and the University of Utah have launched the software campus-wide. Dartmouth College, University of Southern California, and University of California, San Diego, are starting with limited releases. Having gained operational experience with the software and having identified gaps between the current product and the vision of a Scholars Portal, participants are now beginning to identify new features that will meet the needs of research libraries. FD will develop and incorporate these new features into the product as part of their contributed three years of development to the project. The group continues to prioritize resources to be made available through the portal. The project is now completely self-managing. Mary Jackson attends Project Managers Group meetings, serving as a liaison regarding contractual and other administrative issues. A status report is available at <http://www.arl.org/access/scholarsportal/SPupdateMay04.html>.

## ARL ENDORSES DIGITIZATION AS AN ACCEPTABLE PRESERVATION REFORMATTING OPTION

In June, ARL released a statement endorsing digitization as an acceptable preservation reformatting option for a range of materials. The Association is encouraging its members and others already engaged in digital reformatting and those interested in initiating these activities to make organizational and economic commitments to adhere to accepted standards and best practices in digital reformatting. ARL is also urging libraries to establish institutional policies for the long-term maintenance of digital products. At the same time, the Association recognizes that the choice to use digitization, or any reformatting option, for preservation is not prescriptive—it remains a local decision. Many approaches are possible and digital reformatting should now be considered a valid choice among the various methods for preserving paper-based materials.

ARL's endorsement comes from several years of work undertaken by the ARL Preservation Committee, now chaired by William A. Gosling, University Librarian at the University of Michigan. The committee concluded that the emerging consensus around best practices for the creation and long-term maintenance of digital files, coupled with the overwhelming advantages of digitization for access, argue for support of digitization as a viable preservation reformatting strategy.

As a first step in building community support and facilitating the development and implementation of policies, standards, guidelines, and best practices where they do not currently exist, ARL released "Recognizing Digitization as a Preservation Reformatting Method," [http://www.arl.org/preserv/digit\\_final.html](http://www.arl.org/preserv/digit_final.html). The paper was prepared by Kathleen Arthur, University of Chicago; Sherry Byrne, University of Chicago; Elisabeth Long, University of Chicago; Carla Q. Montori, University of Michigan; and Judith Nadler, University of Chicago. It benefited from the comments of a number of additional preservation staff and funding agencies' staff as well as from many ARL directors. Since its release, the paper has been endorsed by the Center for Research Libraries, Coalition for Networked Information, the Council on Library and Information Resources, OCLC, and the Research Libraries Group.

For more information, contact Judith Matz, ARL Communications Officer, [judith@arl.org](mailto:judith@arl.org).

## NEW SPEC KITS FROM ARL/OLMS

This summer ARL/OLMS published two SPEC Kits:

### **SPEC Kit 280, *Library User Surveys***

TOM DIAMOND • JUNE 2004 • ISBN 1-59407-656-1

User surveys are tools commonly used to assess library services. This SPEC Kit addresses survey frequency, goals, and evaluation; survey development, promotion, and administration; survey implementation and effectiveness; and the analysis of survey results.

### **SPEC Kit 281, *The Information Commons***

LESLIE HAAS & JAN ROBERTSON • JULY 2004 • ISBN 1-59407-658-8

Libraries are partnering with others in their communities to combine computer access and research assistance. This SPEC Kit looks at how this new service model, the "Information Commons," fits into the existing framework of research library services.

For more information, visit <http://www.arl.org/pubscat/pr/2004.html>.

## ARL TRANSITIONS

**Brown:** Florence Doksansky was named Interim University Librarian.

**Chicago:** Judith Nadler, Associate Director, was named Director of the University Library to succeed Martin Runkle, who will retire on October 1.

**Dartmouth:** John Crane, formerly Deputy Librarian, was appointed Interim Dean of Libraries and Librarian of the College.

**Duke:** Bob Byrd was appointed Interim University Librarian.

**Library and Archives Canada:** Ian Wilson, former National Archivist, became Librarian and Archivist of Canada upon the retirement of Roch Carrier as National Librarian and the merger of the National Library of Canada and National Archives of Canada on May 21.

**New York Public Library:** David S. Ferriero, former Duke University Librarian, was named the Andrew W. Mellon Director and Chief Executive of the Research Libraries, effective September 1.

**North Carolina at Chapel Hill:** Sarah Michalak was appointed University Librarian and Associate Provost, effective September 20, to succeed Joe Hewitt, who retired after 29 years with the UNC libraries. She was previously Director of the University of Utah Library.

**Oklahoma State:** Sheila Grant Johnson was selected as Professor and Dean of Libraries at Oklahoma State University.

**Pennsylvania:** Carton Rogers was named Vice Provost and Director of Libraries on July 20 after serving in an interim capacity since April 2003.

**Purdue:** James L. Mullins was named Dean of University Libraries effective July 1. He was previously Associate

Director for Administration of the Libraries at the Massachusetts Institute of Technology.

**Texas A&M:** Colleen Cook, Interim Dean since August 2003, was chosen as the Dean of the University Libraries. She now holds the Sterling C. Evans Endowed Chair.

**Utah:** Gary Rasmussen, Assistant Director, was named Interim Director.

## OTHER TRANSITIONS

**Council on Library and Information Resources:** Nancy Davenport was selected as President, effective July 5. She was formerly Director of Acquisitions at the Library of Congress.

**National Endowment for the Humanities:** Ralph Canevali of the Office of Strategic Planning was named Acting Director of the Division of Preservation and Access, taking the place of George Farr, who retired August 31.

## HONORS

**Camila Alire,** Dean of University Libraries, University of New Mexico, was elected Vice President/President-Elect of ACRL.

**Frances K. Groen,** former Trenholme Director of Libraries, McGill University, was awarded the 2004 Canadian Association of Research Libraries (CARL) national award for Distinguished Service to Research Librarianship for local, national, and international contributions to academic research librarianship.

**Kendon Stubbs,** former Associate University Librarian, University of Virginia, was recognized for his contributions to the *ARL Statistics* with a dedication in the 2002–2003 edition of the publication.

## PETER S. GRAHAM, 1939–2004

Peter S. Graham, University Librarian at Syracuse University, died August 11 at his home in Syracuse after a long battle with lymphoma. He served as University Librarian since 1998. Prior to coming to Syracuse, he was Associate University Librarian for Technical and Networked Information Services at Rutgers, the State University of New Jersey. He began his career in librarianship at the Research Libraries Group in its early days and was also a librarian and manager at Columbia University and Indiana University. Throughout his career, he served on many professional committees, including the steering committee of the Coalition for Networked Information and the board of the Research Libraries Group. His contributions within ARL were significant, especially in the areas of information policy, preservation, and special collections.



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## ARL CALENDAR 2004

<http://www.arl.org/arl/cal.html>

- October 12–15     Library Management Skills Institute II:  
The Management Process  
*Los Angeles, California*
- October 12–14     **ARL Board and Membership Meeting**  
*Washington, D.C.*
- October 15         E-Research and Supporting Cyberinfrastructure: An ARL/CNI Forum  
*Washington, D.C.*
- October 18–19     Analyzing and Interpreting Your LibQUAL+™ Data with SPSS  
*Washington, D.C.*
- October 27–29     Associate University Librarian Institute  
*Boston, Massachusetts*
- November 8–9     Human Resources Symposium  
*Washington, D.C.*
- December 6–7     CNI Fall Task Force Meeting  
*Portland, Oregon*

### Online Lyceum

Can't make it to our in-person events? Take a look at our Online Lyceum Web-based course offerings at <http://www.arl.org/training/lyceum.html>.

### KEY EVENTS IN 2005

- ARL Board Meeting,  
February 9–10, D.C.
- CNI Spring Task Force Meeting,  
April 4–5, D.C.
- ACRL National Conference,  
April 7–10, Minneapolis
- ARL Board and Membership Meeting,  
May 24–27, Philadelphia
- ARL Board Meeting,  
July 25–26, D.C.
- ARL Board and Membership Meeting,  
October 25–28, D.C.
- NOTE NEW DATES

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