



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

## ADVOCATING FOR DIGITAL SCHOLARSHIP: HIGHLIGHTS OF THE REPORT OF THE ACLS

by Catherine Murray-Rust, Dean of Libraries, Colorado State University

*Editor's note: With support from The Andrew W. Mellon Foundation, the American Council of Learned Societies (ACLS) appointed a national Commission on Cyberinfrastructure in the Humanities and Social Sciences. During 2004, the commission carried out extensive research, hearings, and consultations to gather information and develop perspective. The final report, summarized in this article, was released in the fall of 2006.*

**M**aking the world's cultural heritage available to every citizen is the goal of the American Council of Learned Societies' (ACLS) Commission on Cyberinfrastructure in the Humanities and Social Sciences and the focus of its recent report *Our Cultural Commonwealth*.<sup>1</sup> The commission defined cyberinfrastructure broadly to denote:

...the layer of information, expertise, standards, policies, tools, and services that are shared broadly across communities of inquiry but developed for specific scholarly purposes: cyberinfrastructure is something more specific than the network itself, but it is something more general than a tool or a resource developed for a particular project, a range of projects, or, even more broadly, for a particular discipline.

So, for example, digital history collections and the collaborative environments in which to explore and analyze them from multiple disciplinary perspectives might be considered cyberinfrastructure, whereas fiber-optic cables and storage area networks or basic communication protocols would fall below the line for cyberinfrastructure.<sup>2</sup>

The report, in the words of its authors, is "primarily concerned...with institutional innovations that will allow digital scholarship to be cumulative, collaborative, and synergistic."<sup>3</sup>

Building on the findings of their investigation, the commission outlined the potential contributions of such an infrastructure, the distinct needs of the humanities and the social sciences in such a system, and recommended priorities for leadership and collaboration among public and private organizations, institutions, and individuals.

Intended for a large, varied audience, the report focuses on three areas of inquiry: the case for why the investment in cyberinfrastructure in the humanities and social sciences is needed; the challenges and barriers; and a framework for coordinated action.

### **Why Invest in Cyberinfrastructure?**

One of the potential rewards of strengthening and coordinating the creation of a robust cyberinfrastructure is expanding areas of scholarly inquiry and increasing access to primary and secondary sources in a wide variety of formats. Through the use of new technologies, scholars have the opportunity to change the ways they see and use cultural artifacts, and work collaboratively with researchers in the US and around the globe. Equally important, the public will have greater access to the insights of scholarship and scholarly resources valuable for personal learning and teaching.

### **Challenges to Overcome**

The barriers to making cultural heritage materials widely available digitally to scholars and the general public, according to the commission, are the characteristics of the data itself, current copyright law and public policy, the cultures of scholarship

and universities, the influence of commercial or any other market-based strategies that measure the value of scholarship in revenue from sales, and the lack of resources on the scale needed.

The commission focuses especially on the issues of scholarly communication in economic terms, declares that it supports open communication as a public good, and expresses its concern that the United States is significantly behind the European nations, Australia, and Canada in its support for cyberinfrastructure and research funding in general. Private funders, especially foundations, have played a key but disproportionate role in supporting digital humanities and social sciences initiatives.

New federal funding is crucial, not only for infrastructure, but also for projects that propose new ways to make digital efforts sustainable. The commission notes, "Received wisdom on the limits of the market for ideas has been radically reoriented by the rise of networked communities, and at this point, scholarly communication may well stand to lose more by failing to experiment than from experiments that fail."<sup>4</sup>

## Framework for Collaborative Action

The commission begins its framework for action by outlining five characteristics for a trustworthy and effective cyberinfrastructure in the humanities and social sciences—accessible as a public good, sustainable, interoperable, facilitates collaboration, and supports experimentation.

In meeting its charge to recommend opportunities for collaborative action, the commission goes on to highlight eight priority areas in which effort and commitment on the part of a large group of stakeholders are vital:

- Federal and private funding agencies as well as universities need to invest as a strategic priority.
- Leaders in the humanities and social sciences from a variety of organizations and legislative bodies need to promote openness and access at local, institutional, and national levels.
- Private and public organizations, including commercial entities, must foster collaboration between the public and private sectors.
- Scholars, academic administrators, and funders should cultivate leadership support from within humanities and social sciences disciplines.

- Libraries, national endowments and other federal agencies, scholarly societies, and individuals need to encourage digital scholarship through a variety of strategies including fellowships, workshops, and support for individual projects.
- Universities, legislators at the national and state level, and funding bodies must establish national centers to support scholarship that takes advantage of cyberinfrastructure.
- Individuals and public and private organizations should develop and maintain open standards and effective tools.
- Scholars, librarians, and federal and private grant-giving agencies must create extensive digital

collections that will be widely available. The commission notes that scholars have a key role to play in the development of digital collections to ensure that they will be valuable in support of humanities and social sciences research and teaching.

## Conclusion

The commission concludes their report by defining success as a greatly expanded audience for social sciences and humanities scholarship among the general public and new forms and methods of research that answer

new and exciting questions. Declaring that the sustainability of disciplines in humanities and social sciences is at risk, the commission calls on senior scholars and senior administrators in research universities to lead the way in the development of a robust cyberinfrastructure.

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*The author of this summary is a member of the ARL Task Force on the ACLS Cyberinfrastructure Report, charged to review the report and identify opportunities for research libraries to advance the report's recommendations.*

<sup>1</sup> *Our Cultural Commonwealth: The Report of the American Council of Learned Societies Commission on Cyberinfrastructure for the Humanities and Social Sciences* (New York: ACLS, 2006), <http://www.acls.org/cyberinfrastructure/OurCulturalCommonwealth.pdf>.

<sup>2</sup> *Ibid.*, 1.

<sup>3</sup> *Ibid.*, i.

<sup>4</sup> *Ibid.*, 26.

## POSSIBILITIES

*Creating such an infrastructure is a grand challenge for the humanities and social sciences, and indeed for the academy, the nation, and the world, because a digitized cultural heritage is not limited by or contained within disciplinary boundaries, individual institutions, or national borders.*

—*Our Cultural Commonwealth*, page 11

## RECOMMENDATIONS FOR SUSTAINED EFFORT & COMMITMENT

In *Our Cultural Commonwealth*, the ACLS Commission on Cyberinfrastructure in the Humanities and Social Sciences recommends the following measures necessary to achieve the goals and meet the challenges described in the report:

- 1. Invest in cyberinfrastructure for the humanities and social sciences, as a matter of strategic priority.**  
*Addressed to:* Universities and colleges; federal and private funding agencies
- 2. Develop public and institutional policies that foster openness and access.**  
*Addressed to:* University presidents, boards of trustees, provosts, and counsels; university presses; funding agencies; libraries; scholarly societies; Congress
- 3. Promote cooperation between the public and private sectors.**  
*Addressed to:* Universities; federal and private funding agencies; Internet-oriented companies
- 4. Cultivate leadership in support of cyberinfrastructure from within the humanities and social sciences.**  
*Addressed to:* Senior scholars; scholarly societies; university administrators; senior research librarians and research library organizations; academic publishing organizations; federal funding agencies; private foundations
- 5. Encourage digital scholarship.**  
*Addressed to:* Universities and colleges; research libraries; the National Endowment for the Humanities (NEH); the National Endowment for the Arts (NEA); the Institute of Museum and Library Services (IMLS); the National Academies; the National Archives; major private foundations; major scholarly societies; individual leaders in the humanities and social sciences
- 6. Establish national centers to support scholarship that contributes to and exploits cyberinfrastructure.**  
*Addressed to:* Universities; Congress; state legislatures; public funding agencies; private foundations
- 7. Develop and maintain open standards and robust tools.**  
*Addressed to:* Funding agencies, public and private; scholars; librarians; curators; publishers; technologists
- 8. Create extensive and reusable digital collections.**  
*Addressed to:* The National Endowment for the Arts (NEA), the National Endowment for the Humanities (NEH), the Institute of Museum and Library Services (IMLS), the National Archives and Records Administration (NARA), and other funding agencies, both public and private; scholars; research libraries and librarians; university presses; commercial publishers

—*Our Cultural Commonwealth*, pages 3–5

## DEVELOPMENTS SINCE THE RELEASE OF THE ACLS REPORT

*Compiled by Steven C. Wheatley, Vice President,  
American Council of Learned Societies*

### Invest in Cyberinfrastructure (Recommendation 1)

NEH Digital Humanities Initiative  
<http://www.neh.gov/grants/digitalhumanities.html>

Advancing Knowledge:  
IMLS/NEH Digital Partnership  
[http://www.neh.gov/grants/guidelines/  
Digital\\_Partnership.html](http://www.neh.gov/grants/guidelines/Digital_Partnership.html)

### Foster Openness and Access (Recommendation 2)

Association of American University Presses,  
“AAUP Statement on Open Access,” February 2007  
<http://aaupnet.org/aboutup/issues/oa/statement.pdf>

### Encourage Digital Scholarship (Recommendation 5)

ACLS Digital Innovation Fellowships  
<http://www.acls.org/difguide.htm>

Diane Harley et al., “The Influence of Academic Values on Scholarly Publication and Communication Practices,” University of California, Berkeley, Center for Studies in Higher Education, September 2006  
[http://cshe.berkeley.edu/publications/docs/  
ROP.Harley.AcademicValues.13.06.pdf](http://cshe.berkeley.edu/publications/docs/ROP.Harley.AcademicValues.13.06.pdf)

Modern Language Association (MLA) Task Force on Evaluating Scholarship for Tenure and Promotion, *MLA Report on Evaluating Scholarship for Tenure and Promotion*, December 2006  
[http://www.mla.org/tenure\\_promotion/](http://www.mla.org/tenure_promotion/)

Hilary Ballon and Mariët Westermann, *Art History and Its Publications in the Electronic Age*, Rice University Press and Council on Library and Information Resources, September 2006.  
<http://cnx.org/content/col10376/latest/>

### Establish National Collaborative Centers (Recommendation 6)

The Council on Library and Information Resources is planning meetings to explore and make recommendations for national centers that support collaborative scholarship using cyberinfrastructure. Topics for discussion will include types of centers needed, their organization and governance, and their relation to activities in the US and abroad.  
<http://www.clir.org/>

NEH/University of Maryland Summit Meeting of Digital Humanities Centers, April 12–13, 2007  
<http://www.neh.gov/whoware/cio/centers/>

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# RESEARCH, TEACHING & LEARNING

*Julia Blixrud, Assistant Executive Director, External Relations*

## UNIVERSITY OF CHICAGO EXPLORES LIBRARY-FACULTY PARTNERSHIPS IN UNCOVERING HIDDEN COLLECTIONS

*by Alice Schreyer, Assistant Director for Special Collections & Preservation and Director, Special Collections Research Center, University of Chicago Library*

The University of Chicago is currently piloting two models of library-faculty partnerships that support cooperative collection development and graduate student training. The Uncovering New Chicago Archives Project (UNCAP), now in the first of its three years, is creating new research and teaching resources and developing graduate students' skills in working with primary materials. UNCAP builds and expands on the work of Mapping the Stacks (MTS), an archival project started in 2003 by university English Department faculty members.

A feature shared by Mapping the Stacks and the other, more recent UNCAP model is the involvement and responsibility of university faculty members and librarians. In both models, university faculty members are active partners with librarians but the two models are distinguished from each other by the degree of faculty involvement. MTS was designed as a faculty-directed project and it continues to operate as such as part of UNCAP. UNCAP also includes a faculty-guided component that requires a smaller time commitment by the faculty members with greater reliance on librarians and archivists. By piloting the two approaches within UNCAP, the university will reach a better understanding of the circumstances when one approach may prove to be more effective than the other.

There are four distinct but interrelated components within UNCAP:

- Participants extend beyond the university into the South Side of Chicago to foster collaborations with and among community organizations, institutions, and individuals, in order to locate privately held and previously inaccessible collections of potential value for research.
- Scholars' expertise is relied on to guide archival processing priorities and processing levels.
- Graduate students work as part of an interdisciplinary team with scholars, librarians, and archivists to develop research skills and gain experience in a collaborative project.
- The library is developing an extensible technical infrastructure to allow for cross-collection, cross-institution searching of materials in a wide variety of formats.

UNCAP is supported by a \$617,000 award to the library from The Andrew W. Mellon Foundation.

## UNCAP'S SHARED, EXTENSIBLE, TECHNICAL INFRASTRUCTURE

As a result of participating in UNCAP, institutions will have the finding aids to their collections available online as part of a shared database that offers users the capability to search across as well as within collections.

The UNCAP database will extend an existing system that is used to provide access to the University of Chicago Library's Encoded Archival Description (EAD)-encoded archival finding aids.\* The current interface, based on a MarkLogic XML content server, will be extended (1) to allow searching across a variety of metadata formats; (2) to search across collections held at multiple institutions; (3) to limit searches by collection and by institution as needed. To accommodate metadata for other formats such as visual resources, all metadata formats will be crosswalked to the Metadata Object Description Schema (MODS), which will be used for cross-collection searching.

The University of Chicago Library is now in the process of planning for the first application of the extensible technical infrastructure with the Black Metropolis Research Consortium (BMRC). BMRC is an unincorporated association of Chicago-based libraries, universities, museums, and other archival institutions with significant holdings in African-American and African diasporic culture, history, and politics, of which the University of Chicago and Mapping the Stacks are members. BMRC member institutions will contribute their finding aids to the UNCAP database, and the UNCAP interface will be embedded on the BMRC Web site. Finding aids contributed by BMRC members will be identified so that they can be retrieved individually or as a group. The library will consult with the BMRC archivist and provide tools to ensure that BMRC finding aids can be easily ingested into the UNCAP database for seamless cross-collection searching.

At the conclusion of the UNCAP project, the UNCAP Web site and its underlying technical architecture will be available for application to other efforts to connect finding aids from institutions within geographical areas or with collections on related topics.

\* University of Chicago Library, Archives and Manuscripts Finding Aids, <http://ead.lib.uchicago.edu/>.

## Distinctive Features of UNCAP

UNCAP provides an example of how special collections can contribute to ARL's strategic direction for Research, Teaching, and Learning to "promote and facilitate new and expanding roles for ARL libraries to engage in the transformations affecting research and undergraduate and graduate education." Doing so, however, requires departing from conventional thinking about collection development, the traditional use of graduate students as archival processing assistants, and the typical roles faculty play in library activities.

A basic principle of UNCAP is creating access to primary sources needed by faculty and their students.

Toward this end, UNCAP and the University of Chicago Library serve as a catalyst and locus for developing and providing access to collections of primary sources needed by the institution's faculty and students, regardless of whether the collections are

institutionally held or not. Adherence to the principle of "access not ownership" entails the commitment of library staff and external funds to activities that place collections in other repositories and reduce arrearages in all participating institutions.

Preserving the identity of separate institutions within the context of a seamless search experience across repositories, collections, and formats presents some technical challenges, but this functionality is absolutely essential to inter-institutional collaboration. (See sidebar accompanying this article.)

UNCAP is also distinctive in its approach to graduate student training. Graduate students are assigned to archival collections in their own disciplines and work as part of an interdisciplinary team that is led by faculty members and includes graduate students from various academic departments as well as library staff. Discovering primary sources of direct interest and functioning as part of an interdisciplinary team provide an intellectual experience that contributes to the professionalization of graduate students. This outcome creates a powerful incentive for faculty members as well as students to partner with the library.

## Background

There is a massive amount of 20th-century materials of potential research value held by private individuals and private organizations. UNCAP offers an opportunity for the library to engage with scholars in a coordinated effort to discover, select, and collect these primary sources.

UNCAP has its origins in Mapping the Stacks, started by University of Chicago English Department faculty members Jacqueline Goldsby and Jacqueline

Stewart in 2003. Their own research and teaching interests in post-Depression pre-Civil Rights-era African-American literary and cinematic history shaped their goal: "to survey the holdings of Chicago-area libraries and archives and to identify primary source materials...that were in need of processing and cataloguing." Mapping the Stacks was established to perform that work, combining the faculty members' field expertise and labor power together with that of graduate students from the University of Chicago. As a first step, the faculty members and students immersed themselves in archival processing literature. This preliminary course of readings was followed by training

sessions that were organized and led by library archivists.

Mapping the Stacks began with a focus on collections in the Vivian G. Harsh Collection of Afro-American History and Literature of the Chicago Public Library, the DuSable Museum of African American

History, and the editorial offices of the *Chicago Defender*. Seed monies from the university's Center for the Study of Race, Politics, and Culture and Humanities Division, supplemented by a Mellon Foundation Officer's Grant, provided support for the project's initial phases.

Under UNCAP, Professor Goldsby will direct the third phase of Mapping the Stacks. Professor Stewart will serve as a consultant on the project from Northwestern University, where she is now on the faculty. The library will partner with faculty members Robert von Hallberg and Travis Jackson to develop and process University of Chicago Library collections in contemporary poetry and the Chicago Jazz Archive.

## Cooperative Collection Development

A chief aim of UNCAP is to ensure that currently hidden primary resources are preserved and accessible to scholars. Faculty members' first-hand knowledge of the community, and word-of-mouth about the initiative, are already bringing to light privately held collections and opening doors to others that were previously inaccessible. We anticipate that a number of collections will be acquired as a result of UNCAP, some that may be appropriate for the University of Chicago Library's holdings and others that will be housed at another institution.

UNCAP pairs faculty subject expertise with library staff professional knowledge to identify collections that need to be preserved and to determine the repository that would best serve researchers and the collection. The principle of "access not ownership" as a part of archival collection development is especially well suited for Mapping the Stacks because of the

*Adherence to the principle of "access not ownership" entails the commitment of library staff and external funds to activities that place collections in other repositories.*

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Continued

strong African- American collecting initiatives in place at area institutions. University of Chicago Library staff members have already participated in discussions about the disposition of collections, providing guidance and educating potential donors on aspects of the process. The library's ability to be a neutral advisor has been immensely productive to these interactions.

## Graduate Student Training and Faculty Commitment

Along with many ARL institutions, the University of Chicago Library has long benefited from employing graduate students as archival processing assistants. At the University of Delaware, academic departments fund graduate student internships. The University of Iowa has established a fellowship that provides a two-year graduate assistantship and tuition support.<sup>1</sup> The University of California, Los Angeles (UCLA) and Columbia University have recently launched programs that hire and mentor graduate students, at UCLA with the involvement of faculty members.<sup>2</sup> These programs play an important recruitment role in attracting graduate students to the library and archives profession, and the processing experience helps all students become more critically aware and productive researchers. The emphasis in most of these programs is typically on accomplishing processing goals established by the library: the students are assigned to collections that the library has identified as processing priorities, and they work according to processing levels and standards established by the library. By contrast, the selection and prioritization of collections to be processed as part of UNCAP are driven by faculty and student research interests.

Because graduate students involved with UNCAP work with faculty on collections in their own disciplinary fields, they are likely to discover specific sources for use in papers or dissertations, in addition to developing skills in working effectively with primary sources. Professional archivists on the library staff collaborate with faculty to organize training workshops and provide expertise throughout the project. The faculty members, graduate students, and library archivists constitute teams that encourage interdisciplinary collaboration and sharing of expertise. This interdisciplinary, collaborative experience is especially crucial for graduate students in the humanities, who have less opportunity to work collaboratively than their counterparts in the sciences.

Developing the conceptual, intellectual, research, and professional skills of graduate students is a chief priority of UNCAP and a key to the direct involvement

of faculty members. According to Jacqueline Goldsby, this process includes: "(a) training in organizing and analyzing large tracts of primary source materials; (b) learning how to envision broad-based research questions that primary sources inspire; (c) conceptualizing data use across disciplinary lines, thus learning how evidentiary protocols differ across intellectual fields; (d) learning the ethical use of primary source materials; (e) conducting themselves in a non-classroom, professional work environment; and (f) making intellectual judgments in collaboration with peers, library professionals, and faculty."

Not surprisingly, this approach demands a substantial commitment on the part of the faculty member that may be difficult to add to teaching and research responsibilities without the incentive of course relief. Moreover, directing archival discovery and processing projects will appeal primarily to faculty members who have themselves worked with archival materials and whose own areas of current

research would benefit from access to new sources. The Mellon Officer's Grant provided the Mapping the Stacks faculty directors a summer stipend to recognize the labor-intensive work they performed in completing the project's initial survey. Under UNCAP, Jacqueline Goldsby will have two periods of teaching relief: at the beginning and end of the grant period, to allow her sufficient time to launch and close down the MTS components of the project.

To broaden the extensibility of its core elements, UNCAP is testing faculty-guided models of faculty involvement in addition to the faculty-directed model of Mapping the Stacks. The library-faculty partnerships for the Chicago Jazz Archive and the contemporary poetry collections at the University of Chicago Library are structured to require a more limited and focused time commitment from the faculty advisors. The Mellon award to the library will fund an archivist for two years who will assume a number of the roles undertaken by the faculty director of the Mapping the Stacks project. The Mellon Project archivist will coordinate the development of processing plans and train and supervise the graduate students working on library collections. This will eliminate the considerable administrative and management time required of faculty. And since they will not be involved in activities relating to hands-on processing, subject expert faculty members, Travis Jackson and Robert von Hallberg, will not need to develop such in-depth familiarity with archival processing theory and practice as did the Mapping the Stacks faculty. While this model is closer

*UNCAP is testing faculty-guided models of faculty involvement in addition to the faculty-driven model of Mapping the Stacks.*

to existing programs for using graduate students to reduce library archival processing arrearages, it is distinguished by faculty guidance in selecting graduate students, collections, and processing levels.

The pilot phase of Mapping the Stacks confirms that training and experience in archival processing hone the ability of graduate students to appraise the content of primary source materials and discern patterns and principles of organization within a collection. The payoff is multi-fold: students discover research topics and questions that will form the basis for seminar papers and dissertation projects; processing arrearages are reduced; and the collections receive enhanced metadata since they are described by knowledgeable scholars. Thus the graduate students, the library, and future researchers all benefit. The faculty-student-library teams discuss interdisciplinary research methodologies and how diverse research needs drive the kinds of archival arrangement appropriate for a given collection.

Working off-campus on collections at other institutions has an additional benefit for Mapping the Stacks students: as Christina Petersen, one of the students, remarked, “The life of a graduate student often by necessity shrinks to the confines of academia at the expense of our involvement in the community surrounding the university. What I enjoy most about my work with Mapping the Stacks is that I am able to bridge the gap between studying film history and drawing attention to film as a moving embodiment of social history, through my involvement in a community greater than the university.”

### **Hidden Collections: New Challenges, New Definitions**

UNCAP is providing opportunities to test and refine approaches to uncovering hidden collections that have been the subject of lively debate in the archival and library communities over the past several years.<sup>3</sup>

The Mapping the Stacks collections to be processed are in Chicago repositories that have remarkable holdings in South Side Chicago African-American literature, history, and culture. As is the case at the University of Chicago and most research libraries, many of these collections are “hidden” according to today’s standards: print finding aids exist for some collections and others are unprocessed.

Mapping the Stacks archival processing policies and procedures vary widely according to each institution’s mission, constituents, and priorities. The Vivian Harsh Collection is located at the Carter Woodson Regional

Library, a branch of the Chicago Public Library; the DuSable Museum of African American History is an independent museum; and the *Chicago Defender* is owned by a privately held company. University of Chicago Library archivists recognize the many ways in which processing standards and procedures appropriate for a large academic research library may be unsuitable for other types of institutions with different collections and user populations. The involvement of faculty—who are often long-time, trusted researchers in non-academic collections—greatly facilitates establishing cooperative relations with community organizations and institutions essential to interinstitutional collaboration.

Mapping the Stacks work to date confirms that there is no “one size fits all” approach to archival processing.

There is no doubt that collection-level descriptions and online records for unprocessed collections most efficiently meet the pressing need to make new resources known to researchers. Collections must also be processed at a level responsive to the nature of the collection, the institutional context and

the needs of the researchers who will use it.

The devil, however, is very often in the details: faculty and student user input is very likely to result in archival processing plans that push inventories away from a minimalist, collection-level approach and toward detailed and costly item-level description. And, while the processors’ subject expertise allows for richer metadata, it is also likely to raise the question of where archival processing ends and user-generated content, or research investigation, begins. Access tools already produced for Mapping the Stacks range from item-level inventories to series- and folder-level finding aids, a diversity of approaches that will provide ample opportunity for the partners to better evaluate and understand the advantages and disadvantages of streamlined archival processing.

### **Early Lessons Learned**

UNCAP has already “uncovered” several issues of broad interest that we hope to explore with the library and archival profession.

The Association of College & Research Libraries (ACRL) Code of Ethics for Special Collections Librarians states that special collections librarians “may not withhold information about the library’s holdings or sequester collection materials in order to further their own research and publication.”<sup>4</sup> Since humanists have less experience with team-based research and authorship than researchers in the sciences, these

*UNCAP assumes that scholars have the ability to identify the level of access that best meets their needs, but few libraries will have the staff, resources, and technical capacity to provide detailed processing for all these materials.*

issues will form part of our discussions, another way that UNCAP will contribute to the growth of interdisciplinary and collaborative scholarship in the humanities.

In addition, the principle of equal access may be seen by faculty or students as an obstacle to individual professional advancement when previously inaccessible primary sources of direct relevance to their current research interests are discovered. Can the library's standard of equal access be reconciled with the faculty member or graduate student's use of these resources before the finding aids are publicly available? Are ethical concerns about access addressed as long as the finding aid is made public promptly and represents the collection in accordance with the standards established for processing it? How should the library respond if a graduate student claims exclusive right to publication of resources discovered at the initiative of faculty members, or if a faculty member claims the right to publish descriptive material generated by students?

Another challenging area is the dialectic between scholars and archivists regarding the appropriate level of arrangement and description in processing a particular collection. Special collections librarians are aware of the irony that, even as we move in the direction of collection-level records and folder-level access in order to provide at least minimal access to otherwise hidden collections, digitization is forcing us to undertake additional and ever more elaborate item-level description.

UNCAP assumes that scholars have the ability to identify the level of access that best meets their needs, but few libraries will have the staff, resources, and technical capacity to provide detailed processing for all these materials. Will libraries be able to educate faculty to the trade-offs we face and enlist them in making difficult choices? Is there a risk of a standoff about who makes these decisions—and the respective roles of researchers and professional archivists? UNCAP partnerships raise these issues in new and challenging contexts.

### Measuring Impact

The desired outcomes of UNCAP are more effective approaches to engaging faculty with the library, improved graduate student training, and access to previously hidden collections. We plan to track the graduate students who work on UNCAP to gather data about the impact of the project on their educational and career paths. Some of the questions we have are: Does the experience help focus selection of a dissertation topic and reduce "time to degree," or does it have the opposite effect? Will more archives-based dissertations be produced by students who are less daunted by the prospect of tackling the inherent intellectual and physical

complexity of original sources? Will the project be able to generate an impact on recruitment and diversity in the archival and library professions? And, perhaps most importantly, will it help develop a generation of faculty members excited about working with primary sources, who then build graduate and undergraduate courses, and promote student research, around the special collections holdings at their institutions? We are also interested in comparing archival processing costs associated with the different models being tested.

The 2003 ARL statement, "Research Libraries and the Commitment to Special Collections" identifies special collections as "one of the critical identifiers of a research library" and affirms the "critical role" played by special collections in fulfilling the mission of research libraries.<sup>5</sup> Projects such as UNCAP demonstrate how the original materials in special collections provide rich opportunities for engaging in library-faculty partnerships that can help transform teaching and research.

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<sup>1</sup> University of Iowa Libraries, Special Collections and University Archives, Robert A. and Ruth Bywater Olson Fellowship, <http://www.lib.uiowa.edu/spec-coll/about/olsonfellowship.html>.

<sup>2</sup> UCLA Library, Department of Special Collections, Center for Primary Research and Training, <http://www.library.ucla.edu/special/scweb/CFPRT.htm>.

<sup>3</sup> This initiative, launched under the auspices of the ARL Special Collections Task Force, began with a working conference at the Library of Congress in September 2003 "to explore the challenges of providing access to uncataloged and unprocessed archival, manuscript, and rare book materials," followed by the white paper, "Hidden Collections, Scholarly Barriers," prepared by Barbara Jones for the task force <http://www.arl.org/rtl/speccoll/hidden/>. Discussion was further stimulated by pre-publication distribution of "More Product, Less Process: Revamping Traditional Processing Approaches," by Mark A. Greene and Dennis Meissner, in *American Archivist* 68 (2005): 208–263.

<sup>4</sup> ACRL Rare Books and Manuscripts Section, <http://www.rbms.info/>.

<sup>5</sup> ARL, "Research Libraries and the Commitment to Special Collections," <http://www.arl.org/rtl/speccoll/speccollprinciples.shtml>.

# SCHOLARLY COMMUNICATION

Karla Hahn, Director, Office of Scholarly Communication

## THE FUTURE OF PRESERVATION IN ARL LIBRARIES

by Thomas Teper, Head of Preservation, University of Illinois  
at Urbana-Champaign Library

The universal mission of preservation and conservation programs—to preserve access to recorded knowledge—presents research libraries and their advocates with a number of difficult questions. Among the questions most on the radar of the research library community are:

- What level of local support is appropriate, given the universal importance of such a mission, especially when faced with increasing pressure on dollars to acquire collections?
- What strategies should institutional preservation and conservation programs embrace to best protect evolving research collections?
- How can the organizations that advocate on behalf of research libraries most effectively work to benefit those institutions in their pursuit of the preservation and conservation of recorded knowledge?

Such challenging questions of strategy and support were the focus of a meeting convened by ARL's Task Force on the Future of Preservation in ARL Libraries. Meeting at the University of North Carolina at Chapel Hill in September 2006, the task force asked the 30 invited participants to consider technical, operational, and service-related changes within librarianship. The participants explored how these changes might be reflected in both the direction of preservation programs and the role of ARL in relation to member libraries' preservation programs.

Driven in large part by the development of the 2005–09 ARL Strategic Plan,<sup>1</sup> the Task Force on the Future of Preservation in ARL Libraries sought to better define ARL's role as an advocate and supporter of efforts to preserve cultural resources in member institutions. In light of the new strategic plan, the challenge becomes integrating ARL's long-standing role as an advocate for preservation within the three strategic directions identified in ARL's strategic plan—becoming a leading advocate for new models of scholarly communication; staking a place as an influential voice in local and national information and other public policies; and expanding the roles of research libraries in research, teaching, and learning.

Discussions in Chapel Hill were provocative and far-ranging yet the group found it remarkably straightforward to coalesce around a handful of assumptions about the future of preservation in ARL libraries. Some of the key assumptions or messages that the task force members derived from the discussions at

the Chapel Hill meeting are summarized below, sorted to reflect ARL's three strategic directions.

### *Scholarly Communication*

The greatest preservation challenge currently facing research libraries is the preservation of digital content. Several factors imperil digital content—the large quantity of content requiring management; inadequate infrastructure and financial resources; poorly defined management protocols; and rapid change in access mechanisms, encoding formats, and storage systems. These factors hold true for all digital content, whether produced by cultural heritage institutions or commercial vendors.

New and innovative systems of scholarly communication for creating and sharing digital content remain incomplete systems until the management requirements for preservation are more adequately defined and implemented. For centuries, others have looked to the research library community to fulfill the preservation function in the traditional print-based system of scholarly communication. These expectations continue to hold true, and are illustrated in the role that research libraries occupy in programs such as the National Digital Information Infrastructure and Preservation Program (NDIIPP) that embrace partnerships between for-profit and non-profit entities to develop and test strategies for preservation of digital assets. However, conducting research and operationalizing digital preservation schema are different activities. In the immediate future, developing and/or supporting digital preservation management programs will remain the responsibility of individual institutions.

### *Public Policies*

Laws and judicial decisions governing the use of copyrighted materials provide direct support for the preservation and access of the wealth of resources held within our institutions. Provisions in the US Copyright Act, including fair use and related exemptions for libraries and educational institutions, allow libraries to achieve their mission of providing for the use and preservation of information in all formats. As research libraries increasingly integrate digital technologies within their collections and preservation programs, ARL's role in shaping discussions related to public policies such as copyright becomes even more important.

Of special note for preservation programs is the intersection in public policy between the distribution of reformatted content and the rights of copyright holders. While the relatively limited distribution of microfilm or facsimile copies did not raise red flags in the publishing industry, this is not the case with digital reformatting because of the relative ease by which digital content can be delivered. Clarifying how libraries may provide

access to digitally reformatted works is a priority public policy issue for preservation programs.

## *Library Roles in Research, Teaching, and Learning*

Within research libraries, preservation and conservation programs play a crucial role in sustaining access to research collections. In reality, preserving the cultural record is as important to scholars as collecting and providing access to it. As research collections expand to embrace new media and formats, so too must preservation strategies expand.

In addition, many research institutions are turning to their libraries for help in addressing new institution-wide and discipline-focused preservation challenges. These challenges include developing institutional and subject-specific digital repositories where the intellectual content created by researchers, faculty, and students may be deposited and preserved, and advising on strategies to provide long-term access to large datasets that are the result of research projects conducted within and across disciplines.

## **Recommendations of the Task Force**

As the Task Force on the Future of Preservation in ARL Libraries met to follow up on the discussion in Chapel Hill, it became apparent that ARL faces a set of decisions not unlike those decisions faced by preservation and conservation programs on a regular basis. In this case, the issue is not how to identify the collections that should receive attention, but how to identify the strategic actions that should be taken by ARL—and by its member libraries—in light of priority needs and limited financial resources. The task force grappled with this issue as it developed a set of recommendations, outlined below.

### *1. Affirm the Commitment to the Preservation Mission Expected of Research Libraries*

As the foundation for all other efforts, ARL should reaffirm its May 2002 statement affirming the centrality of preservation to the mission of research libraries.<sup>2</sup> The re-issued statement should be revised and updated to further emphasize the necessity to understand and adopt methods for preserving digital content.

### *2. Define Recommended Minimum Levels of Preservation Activity in ARL Libraries*

While recognizing the differing capacities and preservation program models adopted by member libraries, the task force believes that ARL should articulate shared expectations for preservation activities in member libraries. This articulation of expectations should be followed by the development of an instrument and process for libraries to use in assessing their preservation and conservation programs.

Given the membership's long-standing recognition of preservation as a core responsibility of the research library, adoption of a recognized minimum level of commitment is

appropriate and will be useful for informing local decisions and assessing programs. This becomes increasingly important as preservation programs embrace new collection formats, undertake new preservation approaches, seek to define new priorities, and approach third parties to support their efforts.

### *3. Support the Library Community's Ability to Provide Stewardship for Their Collections*

"Community" is the key word in this recommendation.

Although all preservation requires concerted local investment, it is evident that significant work can be accomplished only through coordinated activity, e.g., development of shared collections, support for centers of expertise and shared preservation services that offer economies of scale, and opportunities for preservation staff to develop new skills. In all of its efforts to support preservation programs in member libraries, ARL should promote taking a community-wide perspective.

### *4. Promote Public Policy That Enables and Enhances Preservation Efforts*

The intersection of copyright law and preservation programming becomes increasingly problematic as preservation decisions include digital reformatting and born-digital content. Policies that restrict access to digitally reformatted content inhibit cultural resource institutions from making necessary preservation decisions and negatively impact us all. ARL is encouraged to continue its efforts to promote public policies that enable and enhance traditional and developing preservation efforts. This includes those efforts recently directed toward orphan works and a review of Section 108 of the US Copyright Act.

### *5. Engage in Emerging Issues around the Preservation of Electronic Resources*

The task force finds that preservation of materials existing in digital formats is the greatest preservation challenge currently facing research libraries. Since effective responses to this challenge remain a work-in-progress, the task force recommends that ARL retain a leadership role in the preservation of electronic resources if only to serve as a catalyst for further discussion and collaboration among member institutions. For example, ARL should look for ways to encourage member libraries and publishers to invest in strategies for preserving electronic journals, as recommended in a recent study by the Council on Library and Information Resources.<sup>3</sup> With its partners, ARL should continue to promote development of digital repositories that include effective preservation strategies. Also, ARL should keep member libraries aware of the state of the art in the arena of digital preservation, such as reporting on the experience of the projects funded through NDIIPP.<sup>4</sup>

As the task force was formed by ARL, our recommendations are directed to actions that the Association is best positioned to pursue but with the hope

and expectation that the agenda will be pursued in partnership with other organizations that also serve as advocates of preservation and conservation programs.

### Conclusion

Beginning as early as 1972 with the publication of Warren Haas's report entitled *Preparation of Detailed Specifications for a National System for the Preservation of Library Materials*, ARL assumed a leading role in advocating for the preservation of library materials. Over the last 30 years, ARL provided leadership and guidance through development of the Preservation Planning Program; by development of metrics to inform preservation decision making; and by documentation of early practices and procedures for collections conservation, commercial binding, and program management.

In recent years, ARL's preservation activities investigated the inclusion of scholars in the preservation of research collections, the preservation needs of audio-visual collections, and the increasing use of digital technology as a preservation reformatting option. Throughout its history, ARL has been a strong advocate for federal policies and programs that enhance research library preservation programs, including the National Endowment for the Humanities Preservation and Access Program and the preservation research and development programs at the Library of Congress.

Further discussion of the recommendations of the Task Force on the Future of Preservation in ARL Libraries will take place in 2007. As ARL pursues the directions outlined in its strategic plan, research libraries face a challenge as difficult as the one they faced when Warren Haas first investigated specifications for a national preservation program for library materials. The challenge facing ARL and its member libraries is that of redefining their roles in the context of the changing nature of library collections without abdicating their fundamental role in maintaining access to the collections they have so painstakingly developed.

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- <sup>1</sup> "ARL Strategic Plan 2005–2009," <http://www.arl.org/arl/governance/stratplan.shtml>.
- <sup>2</sup> "The Responsibility of Research Libraries for Preservation," May 22, 2002, [http://www.arl.org/preserv/presresources/responsibility\\_preservation.shtml](http://www.arl.org/preserv/presresources/responsibility_preservation.shtml).
- <sup>3</sup> Anne R. Kenney, Richard Entlich, Peter B. Hirtle, Nancy Y. McGovern, and Ellie L. Buckley, "E-Journal Archiving Metes and Bounds: A Survey of the Landscape" (Washington, DC: Council on Library and Information Resources, 2006). ARL endorsed the recommendations of this report in February 2007; see <http://www.arl.org/news/pr/arlendorsesclirrpt.shtml>.
- <sup>4</sup> National Digital Information Infrastructure and Preservation Program, <http://www.digitalpreservation.gov/>.

## KNOW YOUR COPY RIGHTS™ INITIATIVE LAUNCHED WITH BROCHURE AIMED AT FACULTY

ARL has launched a copyright education initiative called Know Your Copy Rights™. The initiative is the result of a year-long process of securing input from ARL members, campus legal counsel, and copyright experts. The strategy of the initiative is to develop educational resources that convey positive messages about copyright and the public domain and are targeted at users in US not-for-profit higher education institutions. Through the Canadian Association of Research Libraries, ARL is exploring how Canadian libraries could adapt initiative materials for use in the Canadian copyright environment.

The initiative's inaugural product is a brochure, "Know Your Copy Rights™—What You Can Do," that gives faculty and teaching assistants in higher education a concise guide to when and how they can legally use copyrighted works in their teaching, often without requesting permission or paying fees. The brochure accentuates the positive by telling faculty what *can* be done under the law.

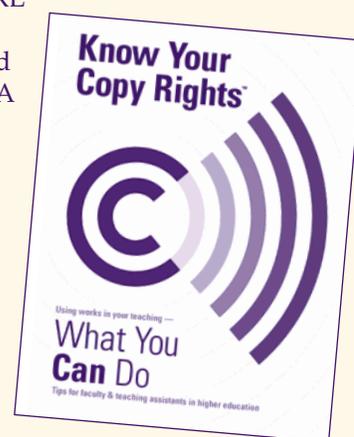
Among the topics covered in the brochure are: fair use, the advantage of linking to instead of copying works, and special provisions for displaying or performing works in classes. The brochure also includes a one-page chart that highlights 24 situations in which various categories of works can be used.

The brochure was developed by ARL staff and by attorney Peggy Hoon, a well-regarded copyright specialist at North Carolina State University. Ms. Hoon also serves as ARL Visiting Scholar for Campus Copyright and Intellectual Property. A number of university legal counsel and copyright educators also contributed to development of the brochure.

### How to Obtain the Faculty Brochure

The brochure is available in various forms for free download as PDF files on the Know Your Copy Rights™ Web site.

A colorful six-panel version of the brochure is available for sale from ARL in bundles of 100 copies for \$75 (\$50 for ARL member libraries) plus shipping and handling. For ordering information, see <http://www.knowyourcopyrights.org/>.





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## ARL CALENDAR 2007

<http://www.arl.org/events/calendar/>

May 11	Performance Measurement in Academic Libraries <i>Chapel Hill-Durham, North Carolina</i>	July 21–26	Research Library Leadership Fellows Institute II <i>Cambridge, Massachusetts</i>				
May 21–24	Web Development with XML <i>Austin, Texas</i>	July 23–24	<b>ARL Board Meeting</b> <i>Washington, DC</i>				
May 22–25	<b>ARL Board &amp; Membership Meeting</b> <i>St. Louis, Missouri</i>	September 16–18	ARL Academy Leadership Institute <i>Washington, DC</i>				
June 23	SPARC-ACRL Forum on Emerging Issues in Scholarly Communication <i>Washington, DC</i>	October 9–12	<b>ARL Board &amp; Membership Meeting</b> <i>Washington, DC</i>				
June 24	LibQUAL+® Forum <i>Washington, DC</i>	December 10–11	CNI Fall Task Force Meeting <i>Washington, DC</i>				
June 25	LibQUAL+®: An Introduction and Your LibQUAL+® Community: A Results Meeting <i>Washington, DC</i>	<div style="background-color: #fff9c4; padding: 10px;"> <h3 style="text-align: center;">ARL MEMBERSHIP MEETINGS 2008</h3> <table border="0" style="width: 100%;"> <tbody> <tr> <td>May 21–23</td> <td>Coral Gables, Florida</td> </tr> <tr> <td>October 15–17</td> <td>Washington, DC <i>Tentative Dates</i></td> </tr> </tbody> </table> </div>		May 21–23	Coral Gables, Florida	October 15–17	Washington, DC <i>Tentative Dates</i>
May 21–23	Coral Gables, Florida						
October 15–17	Washington, DC <i>Tentative Dates</i>						
June 26	Preparing to Work Effectively with LibQUAL+® Survey Results <i>Washington, DC</i>						
July 18–20	Institute on Scholarly Communication <i>Washington, DC</i>						

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