

## **ASSOCIATION OF RESEARCH LIBRARIES: OVERVIEW WITH A FOCUS ON 2001–07**

**ABSTRACT:** The Association of Research Libraries (ARL) is a not-for-profit membership organization comprising over 120 libraries of North American research institutions. ARL influences the changing environment of scholarly communication and the public policies that affect research libraries and the diverse communities they serve. ARL pursues this mission by advancing the goals of its member research libraries, providing leadership in public and information policy to the scholarly and higher education communities, fostering the exchange of ideas and expertise, and shaping a future environment that leverages its interests with those of allied organizations. This account of association priorities and activities updates the entries in the first and second editions of the *Encyclopedia of Library and Information Science* and focuses on the years 2001 to 2007.

### **FOUNDING AND FOUNDATION**

For seventy-five years, ARL has addressed issues of concern to the library, research, higher education, and scholarly communities. The Association was established at a meeting in Chicago on December 29, 1932, by the directors of several major university and research libraries who recognized the need for coordinated action and desired a forum to address common problems. Forty-two libraries adopted a constitution that stated, “the object shall be, by cooperative effort, to develop and increase the resources and usefulness of the research collections in American libraries.” On December 5, 1961, the Association was incorporated under the laws of the District of Columbia and certified that “the particular business and objects of the society shall be: Exclusively for literary, educational and scientific purposes by strengthening research libraries.” A grant from the National Science Foundation in 1962 enabled the Association to establish a full-time secretariat in Washington, DC, with a paid executive director and staff.

In 1987, a series of member discussions led to the construction of a vision statement that portrayed the future aspirations for the Association. Following the statement’s review by the membership and adoption by the Board of Directors, ARL undertook a planning process to develop the Association’s strategy for the 1990s. These efforts culminated in a new mission statement, a values statement, revised programmatic objectives, and a set of financial principles to guide the ARL leadership. In 1988, a new Executive Director was hired and charged with building the Association’s capacity to implement the strategic plan.

ARL’s mission and objectives were reviewed and updated in 1994. The ARL Board annually adopted priorities to guide the ARL program for the current year and developed a statement of priorities to guide the Association programs for the next three to five years. In 2001, the membership undertook a review of core ARL programs. In February 2004, the ARL Board recognized it was time for a comprehensive membership-wide review and assessment of the ARL agenda. This plan was developed by the Strategic Planning Task Force, based on member input and with guidance from the ARL Board.

### **Guiding Principles**

The following principles guided the Task Force in its work. (The “we” in these statements refers to the Association.)

#### *Distinctive Mission*

- \* We complement and build on the strengths of other organizations.
- \* We rethink historic assumptions.
- \* Our policy positions guide our strategies.

#### *Community*

- \* We are a member-driven organization.
- \* We are accountable to our members.
- \* We provide opportunity for full engagement by all member representatives.
- \* We respect the diversity of our membership.

### *Intellectual Freedom and Scholarly Communication*

- \* We promote and advocate barrier-free access to research and educational information resources.

### *Collaboration*

- \* We build relationships with other higher education societies and associations.
- \* We work closely with other library-related associations, councils, federations, etc.

### *Diversity*

- \* We encourage and support our members as they strive to reflect society's diversity in their staffing, collections, leadership, and programs.
- \* We strive to employ a diverse staff.

### *Operational Effectiveness*

- \* We are focused on the needs of our member libraries.
- \* We allocate our resources wisely and practice sound fiscal management.
- \* We promote continuing staff development and growth.

The resulting strategic plan identified key priorities for ARL for 2005–2009, areas where the members agreed ARL should play a leadership role at this point in time. The three strategic directions identified in the plan relate to scholarly communication; information and public policy; and research, teaching, and learning. <http://www.arl.org/arl/governance/stratplan.shtml>

## **Summary of Strategic Directions (2005–2009)**

### *Strategic Direction I*

ARL will be a leader in the development of effective, extensible, sustainable, and economically viable models of scholarly communication that provide barrier-free access to quality information in support of teaching, learning, research, and service to the community.

### *Strategic Direction II*

ARL will influence information and other public policies, both nationally and internationally, that govern the way information is managed and made available.

### *Strategic Direction III*

ARL will promote and facilitate new and expanding roles for ARL libraries to engage in the transformations affecting research and undergraduate and graduate education.

## **SCHOLARLY COMMUNICATION**

ARL members have had a long-standing interest in issues of scholarly communication, initially focusing on the increasing costs of journal subscriptions. In 1989, the membership voted to establish a formal office to address their concerns. The Office of Scientific and Academic Publishing (OSAP) was created in 1990 to understand and influence the forces affecting the production, dissemination, and use of scientific and technical information. The Office's agenda expanded to address all forms of scholarly information and in 1995 the name was changed to the Office of Scholarly Communication (OSC) to reflect the broadened scope. The Office of Scholarly Communication promotes Strategic Direction I by working to create new models for scholarly exchange that build on the widespread adoption of digital technologies and networking for research, teaching, and learning; improve the traditional systems of scholarly exchange; and increase the purchasing power of libraries and the terms and conditions under which content is made available. <http://www.arl.org/sc/index.shtml>

### **New Publishing Models**

ARL has been a leader in advocating the development of innovative systems that offer barrier-free access to research and educational resources. As libraries, research institutions, scholarly societies, commercial publishers, and others experiment with a variety of models to provide digital, online, unfettered access to scholarly information, a number of business models have emerged utilizing different approaches to handling publication costs, managing collections, and providing user access.

In early 2002, an ad hoc task force met to review ARL's strategy for managing intellectual property in the best interests of the academic community and the public. The task force recommended that ARL promote "open access to quality information in support of learning and scholarship." Open access, in this context, refers to works created with no expectation of financial remuneration and available at no cost to the reader on the public Internet for purposes of education and research. The task force developed a five-year action agenda to promote open access. Activities were identified in seven major areas: education, advocacy, legal, legislative, new funding models, global alliances, and research. The task force also identified essential partners to engage in these efforts, including scholars and scientists, the higher education and library associations, university counsels, scholarly societies, and numerous others.

In February 2002, ARL signed on to the Budapest Open Access Initiative (BOAI), a movement to accelerate progress in the international effort to make research articles in all academic fields available on the public Internet at no cost to the user. Hundreds of individuals and organizations around the world, including scientists and researchers, universities, laboratories, libraries and library organizations, foundations, journals, publishers, and learned societies, have signed the initiative.

ARL published *Open Access Bibliography: Liberating Scholarly Literature with E-Prints and Open Access Journals* in early 2005. This compilation presents over 1,300 selected English-language books, conference papers (including some digital video presentations), debates, editorials, e-prints, journal and magazine articles, news articles, technical reports, and other printed and electronic sources that are useful in understanding the open access movement. It also includes a concise overview of key concepts that are central to the movement.  
<http://www.escholarlypub.com/oab/oab.htm>

Since 2002, when DSpace and other institutional repository software began to be available, an increasing number of research libraries and their parent institutions have established institutional repositories to collect and provide access to diverse locally produced digital materials. A 2006 survey of ARL member libraries found that they are rapidly implementing this approach to asset management. Their repositories house a wide range of content, including theses and dissertations, preprints, postprints, and many other formats.  
<http://www.arl.org/bm~doc/spec292web.pdf>

In 2006, in concert with other members of the Open Access Working Group, a coalition committed to collective advocacy of open access to research, ARL offered a statement of support in response to the Research Councils UK policy that mandated open access in digital repositories for funded works. The statement notes, "We believe that open access research dissemination is an indispensable part of the overall remedy to the serious problems now facing the system of scholarly communication. Moreover, open access is a necessary ingredient in any plan to fully realize the social benefits of scientific advances. While these advantages are important no matter the source of the funding, it is particularly critical when the research is publicly funded and the resulting output is a public good." <http://www.arl.org/sparc/advocacy/oawg.html>

A growing number of research libraries have entered into agreements that carry the collections they have built and nurtured beyond their institutions and into the world in digital format. In response to concerns that these agreements, particularly for mass digitization projects, provide responsible management of these collections, ARL engaged a consultant to provide guidance when negotiating such agreements. The consultant identified seven core library interests in evaluating digitization partnerships. He advised that "strategic, community-wide, and societal interests... must be an explicit part of the negotiation" and that, as stewards of their collections, libraries should consider carefully issues of exclusivity, uses of the digital files, respect for the public domain and copyright, preservation, use of standards, the quid pro quo, and transparency. Developed at the request of ARL's Scholarly Communication Steering Committee, a checklist suggested some of the questions negotiators should ask themselves as they define their objectives in entering an agreement. <http://www.arl.org/resources/pubs/br/br250.shtml>

### **Scholarly Publishing Market**

OSC collects data that provides libraries with information on changes and trends in the market for scholarly publications. Given the significant and increasing investment research libraries are making in electronic journals, ARL undertook a series of surveys of its members' electronic journal subscriptions to better understand the issues libraries are facing in ensuring that electronic resources can be used effectively on campus.

ARL developed the first survey in 2002 to gather information about members' subscriptions, expenditures, and licensing terms for a set of 16 commercial and not-for-profit publishers to determine how many titles libraries were subscribing to from each publisher, what they were spending, and under what pricing model. Another survey sent out in 2003 gathered information on additional issues in licensing, particularly how libraries were thinking about their upcoming negotiations for many of their electronic journal packages. A summary of the results is available at <http://www.arl.org/resources/pubs/br/asit.shtml>.

In 2005, ARL surveyed member libraries on their experiences with large bundled collections of journals to build understanding of the market practices for these bundles. The survey responses provided a broad picture of journal bundling practices and journal collecting as members provided insights into their acquisition rates, satisfaction with pricing terms, the frequency of nondisclosure agreements, contract lengths, cancellation terms, protection of bundled titles in cancellation projects, and other topics.

### **Information Access Alliance**

OSC tracks mergers and acquisitions in the scholarly publishing arena and endeavors to raise awareness of library concerns about the increased consolidation of the publishing industry with antitrust authorities. The Information Access Alliance (IAA), formed by ARL and six other library organizations, advocates a revised analysis of publisher mergers. The IAA urged US Justice Department scrutiny of two mergers of large journal publishers, the Candoover and Cinvens acquisition of Kluwer and Springer and the John Wiley & Sons acquisition of Blackwell Publishing.

In 2005, the IAA and the American Antitrust Institute hosted an invitational symposium on "Antitrust Issues in Scholarly and Legal Publishing." The meeting presented perspectives from the library community, economists, and antitrust experts in the legal community to an audience of federal and state regulators, economics and antitrust scholars, and librarians. Participants explored issues surrounding consolidation in the scholarly and legal publishing industry and related issues arising from the development of bundling as a pricing strategy.

ARL offered comments on the "Study on the Economic and Technical Evolution of the Scientific Publication Markets in Europe" from the European Commission (the executive branch of the European Union). The study provides a detailed analysis of the journal publishing market and makes a number of policy recommendations encouraging broader support for public access and open access approaches, regulation of journal bundling, and more vigorous antitrust review of mergers. ARL commented on antitrust and journal bundling issues through the Information Access Alliance. <http://www.informationaccess.org/>

### **Institute on Scholarly Communication**

Strategic Direction I also focuses on "the development of library professionals who have the expertise and knowledge to contribute to enhanced and transformed systems of scholarly communication." To this end, ARL and the Association of College & Research Libraries (ACRL) jointly sponsor the Institute on Scholarly Communication. The institute provides an immersive learning experience to prepare participants as local experts within their libraries and equip them with tools for developing campus outreach strategies. With the number of participants growing, the institute is developing additional resources, such as webcasts and survey instruments, to support library outreach efforts. <http://www.arl.org/sc/institute/index.shtml>

## **SPARC**

OSC was instrumental in establishing the Scholarly Publishing and Academic Resources Coalition (SPARC), an international alliance of academic and research libraries working to correct imbalances in the scholarly publishing system, in 1998. SPARC has become a catalyst for change. Its pragmatic focus is to stimulate the emergence of new scholarly communication models that expand the dissemination of scholarly research and reduce financial pressures on libraries.

SPARC's role in stimulating change focuses on educating stakeholders, including authors, publishers, and libraries, about the problems facing scholarly communication and the opportunities for change; advocating policy changes that advance the potential of technology to advance scholarly communication and that explicitly recognize that dissemination is an essential, inseparable component of the research process; and incubating real-world demonstrations of business and publishing models that advance changes benefiting scholarship and academe. SPARC has advanced this agenda by:

- stimulating the development of increased publishing capacity in the not-for-profit sector and encouraging new players to enter the market;
- providing help and guidance to scientists and librarians interested in creating change;
- creating an environment in which editors and editorial board members claim more prominent roles in the business aspects of their journals;
- demonstrating that new journals can successfully compete for authors and quickly establish quality;
- effectively driving down the cost of journals; and
- carrying the methods and message of change to international stakeholders.

In 2007, membership in SPARC numbered nearly 800 institutions in North America, Europe, Japan, China, and Australia. SPARC worked with the Ligue des Bibliothèques Européennes de Recherche (LIBER) and other European organizations to establish SPARC Europe in 2001. SPARC also is affiliated with major library organizations in Australia, Canada, Denmark, New Zealand, the UK and Ireland, and North America. <http://www.arl.org/sparc/>

## **Create Change**

Originally designed in 2000, the Create Change Web site has been a significant resource for librarians and faculty members seeking to improve the scholarly communication system. In 2006, ARL and SPARC partnered to update the site to reflect new developments. The redesigned site highlights the perspective of faculty members to provide both an understanding of key issues in scholarly communication and ideas for taking action to promote change. One of the most popular features of the site, the "Cases in Point" section, highlights interviews of faculty members actively working with new scholarly communication models. <http://www.createchange.org/>

## **PRESERVATION**

The nature of library collections is changing and with change come new challenges for preservation. Paper-based books and manuscripts have been the mainstay of scholarly communications and library collections for hundreds of years. But in less than two decades digital information has become a mainstay of research in all disciplines. Web documents, moving images, sound recordings, and data sets are growing more important and mainstream for scholarship. The continued work of developing preservation strategies in research libraries requires a new level of intensity to succeed in an information landscape that is more complex and less stable than ever.

Recognizing research librarians' fundamental role and responsibility for preservation, the ARL Committee on the Preservation of Research Library Materials held retreats in 2000 and 2001 to refocus its agenda and develop a new action plan. A statement developed by the committee and approved by the board in 2002 reaffirmed the commitment of ARL members to preserving collections as basic to an understanding of intellectual and cultural heritage through an active stewardship that enables current and future consultation and use of library resources. The statement also acknowledged the difficulties faced by libraries in trying to effectively balance

preservation needs and available resources.

[http://www.arl.org/preserv/presresources/responsibility\\_preservation.shtml](http://www.arl.org/preserv/presresources/responsibility_preservation.shtml)

Approximately 150 people attended the 2002 conference “Redefining Preservation, Shaping New Solutions, Forging New Partnerships” that was cosponsored by ARL and the University of Michigan Libraries. Fifteen high-priority actions were identified as needing national attention. Representatives of ARL, the Library of Congress, the Council on Library and Information Resources, and the National Endowment for the Humanities subsequently met to review the recommendations and suggest individual and collective strategies for action. The preservation of audio-visual materials was identified as a key area needing attention. As a first step, the Preservation and Conservation Studies program of the School of Information at the University of Texas at Austin, the Library of Congress Preservation Directorate, the National Recording Preservation Board, and ARL cosponsored “Sound Savings: Preserving Audio Collections” in 2003. The program covered topics ranging from assessing the preservation needs of audio collections to creating, preserving, and making publicly available digitally reformatted audio recordings. Conference attendees articulated seven areas for future action to move the field effectively forward. [http://www.arl.org/preserv/sound\\_savings\\_proceedings/](http://www.arl.org/preserv/sound_savings_proceedings/)

In 2004, the ARL Board endorsed digitization as an acceptable preservation reformatting option and released the paper “Recognizing Digitization as a Preservation Reformatting Method” as a first step in building community support and facilitating the development of policies, standards, guidelines, and best practices. The Council on Library and Information Resources (CLIR), the Coalition for Networked Information (CNI), OCLC, and RLG joined ARL in supporting digitization as a viable preservation reformatting strategy.

[http://www.arl.org/bm~doc/digi\\_preserv.pdf](http://www.arl.org/bm~doc/digi_preserv.pdf)

In 2005, ARL endorsed the statement “Urgent Action Needed to Preserve Scholarly Electronic Journals.” It reflected ARL’s recognition that it was a crucial time for the library community to act in support of initiatives that will ensure enduring access to scholarly e-journals. The statement arose out of a meeting of library leaders hosted by The Andrew W. Mellon Foundation and articulated four actions needed to support the development of qualified preservation archives for scholarly e-journals. [http://www.arl.org/bm~doc/ejournalpreservation\\_final.pdf](http://www.arl.org/bm~doc/ejournalpreservation_final.pdf)

During a two-day invitational workshop hosted by the University of North Carolina at Chapel Hill in 2006, 30 leaders in preservation and research libraries discussed the future of preservation programs and activities within research libraries as well as at ARL. Participants included program leaders from organizations active in the preservation realm, including CLIR, CNI, the Library of Congress, The Andrew W. Mellon Foundation, the Preservation and Reformatting Section (PARS) of ALA/ALCTS and RLG-OCLC. Discussion focused on which organizations could take various roles and what the responsibilities of research libraries are in a new era of preservation needs. Informed by the conversations and ideas generated, the joint Task Force on the Future of Preservation in ARL Libraries developed recommendations for an action agenda relating to ARL’s three strategic program areas. A summary of the recommendations is available at <http://www.arl.org/bm~doc/arlbr251preserv.pdf>.

### **PUBLIC POLICIES AFFECTING RESEARCH LIBRARIES**

It was no accident that the ARL offices were established in Washington, DC. Research libraries are part of a larger community of higher education and scholarly societies that tended, in the 1960s, to congregate offices in Washington to influence federal policy. Since one of the key roles member libraries look to ARL to perform is to represent their interests before Congress and other federal agencies, the Association has a history of engagement in federal legislation affecting information policies and appropriations. Initially, it was exclusively the role of the Executive Director to monitor developments and look for occasions when the interests of research libraries should be articulated before the Federal Government. In some years, trying to influence legislation was an all-consuming activity for the Association’s executive director and elected officers. By the early 1980s, ARL members concluded that the range of federal relations issues was expanding enough to warrant a dedicated capacity to engage these developments. In 1984,

ARL added a federal relations program officer to bring focus to the increasing array of issues. In 1996, the program officer registered as a lobbyist.

A primary goal of Strategic Direction II is to influence legislative action that is favorable to the research library and higher education communities. To achieve this goal, the public policies program helps ARL members keep abreast of the legislative landscape, as well as rapidly changing issues, players, regulations, and community priorities. Program staff track the activities of state and federal legislatures as well as regulatory and government agencies in North America and abroad. Staff analyze, respond to, and seek to influence public initiatives on information, intellectual property, and telecommunications policies. In addition, the program promotes funding for numerous agencies and national institutions and advances ARL members' interests on these issues. The program works with a variety of agencies and offices on public policy issues including the National Science Foundation, United States Geological Survey, Government Printing Office, Office of Science and Technology Policy, Institute of Museum and Library Services, and the Office of Management and Budget, among others. <http://www.arl.org/pp/>

### **Copyright and Intellectual Property Policies**

Copyright and related intellectual property laws have important and substantial effects on the nature and extent of information services libraries provide to their users. As a key focus for Congress, the courts, and state legislatures became updating copyright and intellectual property laws to meet the challenges of the networked environment, the ARL Board identified intellectual property and copyright as a defining set of issues for the future of scholarly communications. The Digital Millennium Copyright Act, the Sonny Bono Copyright Term Extension Act, peer-to-peer file sharing and digital rights management, and legislation to create additional protections for databases have dominated the public policies agenda. Other areas of concern include orphan works—those works whose owners are difficult or even impossible to locate; Internet neutrality—the concept of keeping the Internet open to all lawful content, information, applications, and equipment; and fair use legislation. <http://www.arl.org/pp/ppcopyright/>

The public policies program participates in a number of collaborative efforts with a diverse constituency of library, education, legal, scholarly, consumer, and public interest associations; hardware and software manufacturers; and telecommunications providers to advance its agenda and raise library and scholarly community awareness of issues associated with copyright and intellectual property management. Through these partnerships the program has represented ARL interests in a number of *amici curiae* briefs that were filed in copyright and intellectual property court cases. <http://www.arl.org/pp/ppcopyright/copyresources/intlcourt.shtml>

Changes to copyright laws extend around the globe and the program has a growing emphasis on international copyright treaties. To help address national and international copyright issues, ARL and four other library associations created the Library Copyright Alliance (formerly named the Shared Legal Capability). The purpose of the alliance is to work toward a unified voice and common strategy for the library community in responding to and developing proposals to amend national and international copyright law and policy for the digital environment. Its mission is to foster global access and fair use of information for creativity, research, and education. Intellectual property laws are currently undergoing major changes in response to the growth in the use of digital formats for works. The alliance is principally concerned that these changes do not harm, but rather enhance, the ability of libraries and information professionals to serve the needs of people to access, use, and preserve digital information. <http://www.librarycopyrightalliance.org/>

To assist member libraries with their copyright education activities, ARL engaged a Visiting Scholar for Campus Copyright and Intellectual Property projects. Working closely with the Public Policies Steering Committee and key ARL and SPARC staff, the visiting scholar leads the planning and development of a multi-phase ARL Copyright Education Initiative to offer information, resources, and tools that are reflective of library principles and goals and are specifically targeted to major campus constituent groups. The Know Your Copy Rights™ Web site, which provides resources for librarians working on positive copyright educational programs for academic users of copyrighted materials, was launched in 2007. The site offers a range of tools

to help librarians view copyright education from the perspectives of key academic stakeholders. The new resources will help librarians develop messages that are targeted to different campus groups such as faculty, students, legal counsel, academic leadership, and library staff. <http://www.knowyourcopyrights.org/>

### **Public Access Policies**

The US government funds research with the expectation that new ideas and discoveries from the research will propel science, stimulate the economy, and improve the lives and welfare of Americans. ARL has promoted legislation and selected agency initiatives that would make federally funded research publicly available under certain circumstances. Enhancing access to federally funded research is a priority for the library community as such initiatives improve access by the public, provide for effective archiving strategies for these resources, and ensure accountability of the federal investment. <http://www.arl.org/pp/access/index.shtml>

ARL has been a strong supporter of the National Institutes of Health (NIH) Public Access Policy. The NIH policy requested that, beginning May 2, 2005, all NIH-funded investigators submit to PubMed Central an electronic version of their final manuscripts upon acceptance for publication in peer-reviewed journals. <http://www.arl.org/pp/access/accessfunded/nihaccess.shtml>

The Federal Depository Library Program is an important program that enables public access to federal government information. ARL and others in the library community are engaged in re-examining the role of the Federal Depository Library Program in the networked environment. <http://www.arl.org/pp/access/fdlp/index.shtml>

### **Privacy, Security, and Civil Liberties**

One of the key concerns of the library community has been legislation intended to promote homeland security but that may restrict access to information and have a negative impact on civil liberties. There is a need to balance the interests of public access to information, privacy, and security concerns. The USA Patriot Act and related antiterrorism measures broadened the surveillance capabilities of law enforcement and contained new provisions governing criminal and foreign intelligence investigations. ARL, with others in the library and higher education communities, worked extensively with House and Senate staff and met with representatives of the FBI, law enforcement, and the Office of Management and Budget to discuss these measures. The program continues to monitor new legislation in this arena.

### **Cyberinfrastructure**

An NSF-funded ARL workshop in 2006 examined the role of research and academic libraries in the stewardship of scientific and engineering digital data. Participants explored issues concerning the need for the new partnerships and collaborations among domain scientists, librarians, and data scientists to better manage digital data collections, necessary infrastructure development to support digital data, and the need for sustainable economic models to support long-term stewardship of scientific and engineering digital data for the nation's cyberinfrastructure. The workshop report reflects the recognition that digital data stewardship is fundamental to the future of scientific and engineering research and the education enterprise and hence to innovation and competitiveness. <http://www.arl.org/bm~doc/digdatarpt.pdf>

### **Federal Funding**

ARL, with others in the library and education communities, supports the annual appropriations of a number of federal and congressional agencies, national libraries, and agency programs and initiatives. These include the Institute of Museum and Library Services, the Library of Congress, the National Agricultural Library, the National Archives and Records Administration, the National Endowment for the Humanities, the National Science Foundation, and the US Government Printing Office.

### **RESEARCH, TEACHING, AND LEARNING**

The transformation of research libraries mirrors to a large degree the ongoing evolution of research institutions, especially the changes underway in the very processes of research, teaching, and learning. The 2005-2009 strategic planning process identified the need for Strategic Direction

III, which focuses on new and expanding roles for ARL libraries to engage in the transformations affecting research and undergraduate and graduate education.

In 2005, the webcast “Teaching, Learning & Research: Libraries and Their Role in the Academic Institution” convened library staff to discuss the role libraries play in academia and highlighted the way one library is moving to more fully engage with faculty and students in this process.

In 2006, the Research Teaching and Learning (RTL) Steering Committee focused on establishing subgroups to pursue ARL’s newest strategic direction. The RTL Steering Committee established a Task Force on Library Roles in Enhanced Environments for Teaching and Learning to advise on a strategic agenda to advance research library roles in teaching and learning. The task force recommended undertaking a broad environmental scan of member activities in support of teaching and learning; securing professional assistance in defining a public relations campaign that addresses the roles research libraries play in the teaching and learning enterprise; strengthening partnerships that leverage common interests, particularly with the EDUCAUSE Learning Initiative and CNI; enabling professional development opportunities for library staff; and identifying best practices for library facilities. The RTL Steering Committee and the Scholarly Communication Steering Committee together established a Joint Task Force on Library Support for E-Science to recommend and initiate strategies to address emerging issues in the role of research libraries in e-science. Other subgroups within Strategic Direction III address special collections and diversity. In 2007, a Program Director for Research, Teaching, and Learning was hired to support these activities.

#### **DIVERSITY INITIATIVES**

The need for support in the recruitment and training of librarians, especially minority librarians, was expressed as early as the 1960s and 1970s in funding provisions of the Higher Education Act Title II-B. For many years, ARL worked with members to address their growing concerns about recruiting and retaining a diverse workforce in research libraries. Two grants from the H. W. Wilson Foundation in 1990 and 1991 enabled ARL to establish the project “Meeting the Challenges of a Culturally Diverse Workforce” and hire a part-time Diversity Consultant. Demand for seminars, resource materials, and consulting services on diversity topics continued to grow. By 1993, the ARL membership recognized the need for a full-time program to address minority recruitment and retention. A grant from the Gladys Krieble Delmas Foundation in 1994 assured a stable beginning for the program.

ARL’s Diversity Initiatives encapsulate a suite of efforts implemented across the strategic directions that aid the Association in defining and addressing diversity issues in ARL libraries. This program seeks to encourage exploration of the rich gifts and talents that diverse individuals bring to the library. ARL staff work closely with a broad range of libraries, graduate library education programs, and other library associations to promote awareness of career opportunities in research libraries and support the academic success of students from groups currently underrepresented in the profession.

ARL launched the Leadership and Career Development Program (LCDP) in 1997. The 18-month program prepares mid-career librarians from underrepresented racial and ethnic groups to take on increasingly demanding leadership roles in ARL libraries and addresses the needs of research libraries to develop a more diverse professional workforce that can contribute to library success in serving increasingly diverse scholarly and learning communities. Over the course of four LCDP offerings, 80 librarians completed the program and a large percentage of them have either been promoted within their libraries or have taken new positions with significantly expanded responsibility.

In 2005, ARL conducted an evaluation of the program’s effectiveness. The feedback confirmed the continued need for this program and recommended that its instructional design be tied directly to ARL’s strategic directions. The goal of the redesigned LCDP is to provide meaningful exposure to and experience with the strategic issues that are shaping the future of research libraries and to prepare professionals of color for increasingly demanding leadership roles in ARL libraries.

The Initiative to Recruit a Diverse Workforce began in 2000 with support from ARL member libraries. The Institute of Museum and Library Services (IMLS) provided additional support in 2003. The program offers a stipend of up to \$10,000 over two years, a mentoring relationship with an experienced librarian, and a leadership training curriculum to MLIS students from underrepresented groups who are interested in careers in research libraries. This multi-year initiative reflects the commitment of ARL members to create a diverse academic and research library community that will better meet the new challenges of global competition and changing demographics. In 2006, the program was awarded a three-year grant through the IMLS Laura Bush 21st Century Librarian Program. These additional funds allow ARL to address the growing need for specialized librarians to help users who create and need access to digital resources and scientific data. The primary goal of the project is to educate, develop, and hire new librarians from underrepresented racial and ethnic groups, especially those with a background in applied and natural sciences and information technology. Forty-five graduate students will receive stipends, mentoring, and leadership development experiences to launch their careers in an ARL library.

The ARL Academy: Careers in Academic and Research Libraries was designed to recruit, educate, and promote visibility within the profession of MLIS students who bring previously gained educational and professional experiences to academic and research libraries. The Academy was a partnership between ARL and three library and information science schools—Catholic University of America, Simmons College, and the University of North Carolina at Chapel Hill. The program was generously supported through an IMLS Recruiting and Education Librarians for the 21st Century grant.

Each fall, from 2004 through 2006, five students from each of the three schools were selected as ARL Academy Fellows. Fellows brought PhDs or specialized educational accomplishments to the program. As part of the program, Fellows were immersed through their classes in the core philosophical and theoretical context necessary to successfully contribute within libraries at professional levels. Simultaneously, they gained mentored work experience in an ARL library to significantly increase their exposure, competence, and marketability upon graduation.

#### **LEADERSHIP DEVELOPMENT**

For over 30 years, the Office of Leadership and Management Services designed and facilitated effective and well-attended library staff development programs and offered services that helped research libraries serve their clientele through the training and strategic deployment of talented individuals. During the 2004 strategic planning process neither professional development and training nor organizational development emerged as top priority issues for ARL members.

In 2005, the membership expressed a range of views about ARL's ongoing involvement in leadership development, especially about the appropriate level of investment of dues to address issues in this arena. The Board established a Task Force on Leadership Development to provide advice on ARL's future approach to addressing executive leadership development issues on behalf of its member libraries. The task force was asked specifically to identify and clarify needs for executive leadership development and succession planning in research libraries and to develop recommendations for strategies to be adopted by the Association for addressing those needs. The responses to a survey conducted by the task force indicated a convergence of views on the need for leadership development resources, especially for executive leadership roles, yet a range of views on how ARL should contribute to meeting those needs. The task force recommended that ARL make a targeted investment to address a set of leadership development needs in the evolving research library environment.

ARL and five member libraries piloted the ARL Research Library Leadership Fellows Program in 2005. This new executive leadership program identifies the unique demands facing directors of large research libraries and prepares participants to develop the skills and professional networks to move into those positions. The pilot program was sponsored by the University of California at Los Angeles; Columbia University; University of Illinois at Urbana-Champaign; University of Texas at Austin; and University of Washington. The second offering began in 2007 and was sponsored by the University of California, Berkeley and the California Digital Library; Harvard

University; University of Minnesota; North Carolina State University; Pennsylvania State University; and the University of Toronto. The program offers an opportunity for development of future senior level leaders in large research libraries. It exposes and engages library staff who have the desire and potential for leadership at ARL libraries to themes and institutions that will enhance their preparedness.

## **COLLECTIONS AND ACCESS**

### **Global Resources**

The importance of foreign materials to research libraries was a concern to the Association almost from its beginning. The Farmington Plan, proposed in 1942 by a committee of the Librarian's Council of the Library of Congress, was sponsored by ARL in 1944 and began operation in 1948. The plan was a voluntary agreement under which some 60 libraries attempted to bring to the United States at least one copy of each new foreign monograph of research value. In 1968, with a grant from the Ford Foundation, ARL established its Center for Chinese Research Materials to help bring rare and scattered Chinese materials to libraries at a reasonable cost. The center became a separate organization in 1986.

The ARL Foreign Acquisitions Program, begun in 1991 with support from The Andrew W. Mellon Foundation, assessed the state of global resources in research libraries in North America. The project found a pattern of retrenchment across most collecting areas and an aggregate reduction on the number of unique titles acquired from overseas. A variety of strategies to monitor and respond to this situation were recommended. In 1995, the ARL Board approved the strategic plan for the AAU/ARL Global Resources Program (GRP) as part of the Association's collections activities. The program began in early 1997 with funding from The Andrew W. Mellon Foundation. Originally intended to be a three-year grant, the funding enabled over five years of activity focused on improving access to international research materials through cooperative structures and the use of new technologies, and on generating increased communication with the scholarly community regarding future information needs. In addition, the GRP funding served as seed money for the regional projects, two of which received significant additional funding from the US Department of Education's Title VI Program for Technological Cooperation and Innovation for Foreign Information Access. The regional projects sponsored by the GRP addressed seven countries or world areas: Africa, Eastern Europe, Germany, Japan, Latin America, South Asia, and Southeast Asia. Each developed differently, based on the needs of scholars who use materials from the area and on the perceptions of area specialist librarians of the most pressing challenges for information access.

In 2003, the GRP Advisory Committee, comprised of leaders from both libraries and the academy, reaffirmed the program's importance as a sustainable, broad-gauged vehicle through which AAU and ARL could combine cooperation with technology in order to expand access to international information. The report, "Scholars, Libraries, and the AAU/ARL Global Resources Program," framed a discussion of several different organizational scenarios and the associated financial options. As a result, the GRP was reframed as the Global Resources Network (GRN).

On January 1, 2006, the Center for Research Libraries (CRL) assumed leadership, governance, coordination, and services of the GRN. During the transition year, the existing GRN Advisory Committee continued to provide intellectual leadership and direction to the network, ensure a smooth transition, and provide ARL oversight while ARL members contributed to GRN funding. CRL now provides administrative, technical, legal, financial management, and communications support for the regular activities of the GRN and its related projects.

### **Special Collections**

For research libraries, special collections are a point of considerable pride. Indeed, these collections are what distinguish and differentiate research libraries. ARL conducted surveys of special collections in member libraries in 1979 and 1998. The goals of the 1998 survey were to equip members to protect and promote special collections as an essential element of research libraries; to articulate the role of special collections within the library program; and to visibly integrate special collections with the goals of the library and the university. The survey results

found that special collections constitute a vast and varied resource that is growing not only in size but in scope. [http://www.arl.org/bm~doc/spec\\_colls\\_in\\_arl.pdf](http://www.arl.org/bm~doc/spec_colls_in_arl.pdf)

In 2001, a symposium was held at Brown University to explore the prospects and promise of special collections in the expanding electronic environment. "Building on Strength: Developing an ARL Agenda for Special Collections" brought together ARL directors, heads of special collections, invited guests, and speakers to articulate a long-term programmatic agenda for special collections in research libraries. <http://www.arl.org/rtl/speccoll/spcollres/>

An ARL Special Collections Task Force was formed in late 2001 and charged to engage and advance the agenda that emerged from the symposium. This group brought together ARL directors and special collections librarians, including representatives of the ALA Rare Books and Manuscripts Section (RBMS) and the Society of American Archivists (SAA). They developed a report and an action plan that addresses key points in the symposium agenda, including: enhancing access to collections and backlogs; coordinating planning for collecting 19<sup>th</sup> and 20<sup>th</sup> century materials and those in new formats; defining core competencies among special collections librarians and creating training opportunities; and incorporating special collections topics into the agenda of ARL standing committees. <http://www.arl.org/rtl/speccoll/spcolltf/>

Over 190 participants from libraries, archives, and funding agencies attended the "Exposing Hidden Collections" conference in 2003 to explore the challenges of providing access to uncataloged and unprocessed archival, manuscript, and rare book materials. One of the major recommendations from the conference was identification and promotion of a shared commitment to certain themes and subjects to encourage cooperative action among libraries and archives to process this material. A survey assessed the interest of libraries and archives in cooperative projects on the themes and also asked for brief descriptions of the top three hidden collections a library or archive was most eager to process, regardless of theme, format or vintage. The task force recommended the development of a position statement to encourage libraries and archives to expose hidden collections through some form of expedited access; a recommendation for a technical strategy for an inventory of unprocessed collections that includes establishing cooperative ties to the Program for Cooperative Cataloging and with the group revising the rare book cataloging standard; and an ACRL/RBMS pre-conference on using collection level records to deal with backlogs of unprocessed special collections. The white paper and a summary of the conference discussions are available at <http://www.arl.org/rtl/speccoll/hidden/>.

Throughout the work of the Special Collections Task Force, the urgent need to develop the next generation of special collections librarians and administrators has been a recurring theme. A small working meeting was held in 2003 that brought together library directors, special collections librarians and archivists, and library and information science educators to discuss possible responses to this critical situation. The white paper 'Education and Training for Careers in Special Collections' found a pressing need for recruitment, education, and training of special collections professionals at all career levels. It calls for the articulation of professional competencies needed for positions in special collections, the development of a shared culture among librarians and archivists, and encouragement of the provision of opportunities for development and professional growth for mid-career practitioners. <http://www.arl.org/rtl/speccoll/spcolled/>

A statement of principles, "Research Libraries and the Commitment to Special Collections," contained the key message that "Special Collections represent not only the heart of an ARL library's mission, but one of the critical identifiers of a research library.... The development, preservation, support, stewardship, and dissemination of major special collections is both a characteristic of the true research library, and an obligation assumed by all members of the Association of Research Libraries." The statement also articulates the kind of actions that member libraries of ARL should take to support special collections, including providing reliable funding for the support, staffing, and preservation of special collections; building special collections in keeping with institutional collection development policies, existing strengths, and regional or national commitments; and entering a new collection area only if there is a firm commitment to

develop the collection and make it accessible to users.  
<http://www.arl.org/rtl/speccoll/speccollprinciples.shtml>

In 2006, the RTL Steering Committee reviewed the final report of the Special Collections Task Force and identified priority elements for ARL's future agenda on special collections as encouraging concerted action and coordinated planning for collecting and exposing 19<sup>th</sup> and 20<sup>th</sup> century materials in all formats (rare books, archives and manuscripts, audio, and video); and identifying criteria and strategies for collecting digital and other new media material that currently lack a recognized and responsible structure for stewardship. The steering committee established a new Special Collections Working Group in 2007 to pursue this new agenda.  
<http://www.arl.org/rtl/speccoll/spcolltf/status0706.shtml>

### **Resource Sharing**

For many years the access services program undertook activities to support resource sharing among research libraries in the electronic environment and to improve access to research information resources while minimizing costs for libraries. This program worked to strengthen interlibrary loan and document delivery performance, interoperability among library systems, cooperative cataloging programs, and policies that increased user access to information both onsite and remotely.

A centerpiece of the program was the North American Interlibrary Loan and Document Delivery (NAILDD) Project, initiated by ARL in 1993 to facilitate the development of standards, software, and system design capabilities to improve interlibrary loan and document delivery (ILL/DD) services for users, and to make them more cost effective for research libraries. The NAILDD Project involved the collaboration of over 40 key ILL/DD vendors and system suppliers.

The first Directors Forum on Managing ILL/DD Operations was held in 1995 and marked the beginning of concerted efforts to understand and improve interlibrary loan and document delivery services. The Interlibrary Loan/Document Delivery Performance Measures Study was a two-year effort to measure the performance of ILL departments in 119 North American research and college libraries. The study, funded by The Andrew W. Mellon Foundation, examined four performance measures: direct cost, fill rate, turnaround time, and user satisfaction. This study highlighted the characteristics of high-performing borrowing and lending operations in research libraries. Techniques to implement these "best practices" were the basis for the "From Data to Action" workshops. Over 400 librarians and representatives from the commercial community attended the twelve workshops offered between October 1998 and March 2001.

The Assessing ILL/DD Services Study in 2002 and 2003 was ARL's third effort in a decade to measure the performance of interlibrary loan operations in North American libraries. The study tracked the performance of mediated and user-initiated ILL/DD operations in 72 research, academic, and special libraries including unit cost, fill rate, and turnaround time for mediated borrowing and lending services. These same measures were also taken for seven user-initiated services. The final report of the study, "Assessing ILL/DD Services: New Cost-Effective Alternatives," confirmed that, in general, user-initiated services have lower unit costs, higher fill rates, and faster turnaround times than mediated ILL/DD services. The report also identified high-performing borrowing and lending operations and laid out strategies for libraries seeking to improve local services.

### **STATISTICS AND MEASUREMENT**

The ARL Statistics and Measurement Program focuses on describing and measuring the performance of research libraries and their contributions to research, scholarship, and community service. ARL serves a leadership role in the development, testing, and application of academic library performance measures, statistics, and management tools. Grounded in the tradition of the North American research library environment, the program provides analysis and reports of quantitative and qualitative indicators of library collections, personnel, and services by using a variety of evidence gathering mechanisms, and tools.

<http://www.arl.org/stats/>

## **ARL Statistics**

*ARL Statistics* is a series of annual publications that describe the collections, expenditures, staffing, and service activities for the member libraries of the Association of Research Libraries. The annual statistics series also includes the *ARL Academic Health Sciences Library Statistics*, the *ARL Academic Law Library Statistics*, and the *ARL Preservation Statistics*.

The *ARL Annual Salary Survey* is a compilation of data covering over 12,000 professional positions in ARL libraries. Tables display average, median, and beginning salaries; salaries by position and experience, sex, and race/ethnic background; and salaries in different geographic regions and sizes of libraries. Additional tables cover law, medical, Canadian, and nonuniversity research libraries. <http://www.arl.org/stats/annualsurveys/>

## **Performance Measures**

New measures that address issues of service quality, electronic resource usage and value, and outcomes assessment are also being developed. StatsQUAL™ is a gateway to library assessment tools that describe the role, character, and impact of physical and digital libraries. Through StatsQUAL™, libraries gain access to a number of resources that are used to assess library's effectiveness and contributions to teaching, learning, and research. StatsQUAL™ presents these tools in a single powerful interactive framework that integrates and enhances data mining and presentation both within and across institutions. StatsQUAL™ includes instruments and data such as LibQUAL+®, DigiQUAL™, and MINES for Libraries™, as well as a growing dataset of survey results.

LibQUAL+® is a rigorously tested Web-based survey that libraries use to solicit, track, understand, and act upon users' opinions of service quality. Results have been used to develop a better understanding of perceptions of library service quality, interpret user feedback systematically over time, and identify best practices across institutions. <http://www.libqual.org/>

The DigiQUAL™ project is modifying and repurposing the existing LibQUAL+® protocol to assess the services provided by digital libraries. DigiQUAL has identified 180+ items around twelve themes related to digital library service quality. The first phase of DigiQUAL involved testing subsets of these elements with five pilot sites.

MINES for Libraries™ is an online transaction-based survey that collects data on the purpose of use of electronic resources and the demographics of users. As libraries implement access to electronic resources through portals, collaborations, and consortium arrangements, the Measuring the Impact of Networked Electronic Services (MINES) protocol offers a convenient way to collect information from users in an environment where they no longer need to physically enter the library in order to access resources.

To address the issues of learning outcomes, ARL supported Project SAILS (Standardized Assessment of Information Literacy Skills). This 2003–2006 project was funded through an IMLS grant to Kent State University to develop a Web-based standardized test that allowed cohorts of students to be evaluated against the ACRL Information Literacy Competency Standards for Higher Education. Kent State made the project operational at the end of 2006. [www.projectsails.org](http://www.projectsails.org)

ARL is helping libraries develop effective, sustainable, and practical assessment activities that demonstrate the libraries' contributions to teaching, learning, and research. "Effective, Sustainable, and Practical Library Assessment," grew out of a two-year project called "Making Library Assessment Work," which involved 25 libraries during 2005–2006. The service involves a site visit to each participating library, a report to each library with recommendations on practical and sustainable assessment, and follow-up assistance in implementing the recommendations. It is now open to both ARL member and nonmember libraries. <http://www.arl.org/stats/initiatives/esassessment/>

## **TECHNOLOGY**

As a strategic response to the realization that telecommunications networks would play a major role in the reform and enrichment of teaching, learning, and education in the 21<sup>st</sup> century, ARL, CAUSE, and EDUCOM (now EDUCAUSE) formed the Coalition for Networked Information (CNI) in 1990. CNI is an organization dedicated to advancing the transformative promise of networked information technology for the advancement of scholarly communication and the enrichment of intellectual productivity. In establishing CNI, the sponsor organizations recognized the need to broaden the community's thinking beyond issues of network connectivity and bandwidth to encompass networked information content and applications. Reaping the benefits of the Internet for scholarship, research, and education demands new partnerships, new institutional roles, and new technologies and infrastructure. The Coalition seeks to further these collaborations, to explore new roles, and to catalyze the development and deployment of the necessary technology base. <http://www.cni.org> (See separate entry on CNI for additional information.)

ARL's Web site was established in 1994 and by the end of 2006 had grown to be extremely large and complex, consisting of over 50,000 pages. In January 2007, ARL launched a newly designed Web site. The updated, streamlined design was developed to improve navigation within the site. The new site focuses on current activities of the association and many legacy files were not migrated. These were archived and are made available upon request.

## **MEMBERSHIP**

Membership in the Association of Research Libraries is necessarily limited to research institutions sharing common values, goals, interests, and needs. The members of ARL are research libraries distinguished by the breadth and quality of their collections and services. Each member also makes distinctive contributions to the aggregation of research resources and services in North America. Membership is based on the research nature of the library and the parent institution's aspirations and achievements as a research institution. Membership is by invitation upon the recommendation of the Board of Directors and approval of the membership. Once achieved, membership is presumed to be continuing. The criteria for ARL membership derive from efforts to define a universe of similar institutions that share a commitment to providing the materials and services needed for serious study and research. The principles and procedures of membership are explained at <http://www.arl.org/arl/membership/qualprin.shtml>. A list of member institutions is at <http://www.arl.org/arl/membership/members.shtml>.

## **GOVERNANCE**

ARL's Board of Directors is composed of 12 member library representatives who are elected by the membership to serve three-year terms. ARL committees, task forces, and working groups are also composed of member representatives who wish to work on specific issues important to the Association membership. There are Steering Committees for each of the three strategic directions: Scholarly Communication, Public Policies Affecting Research Libraries, and Research, Teaching, and Learning. The chairs of these committees serve as nonvoting ex officio members of the ARL Board. Other standing committees include the Membership Committee, Nominating Committee, and Statistics and Assessment Committee. A number of Advisory Committees, Working Groups, and Task Forces work on specific projects and programs of the Association. They are ongoing or temporary as appropriate. <http://www.arl.org/arl/governance/cmte.shtml>

There are two membership meetings each year to transact business, provide a forum for discussion of emerging issues, and build the Association's agenda. Since the 1970s, member representatives and invited guests have gathered at an October meeting in Washington, D.C., and a May meeting hosted by and near a member library. During the fall meeting, in addition to committee meetings and group discussion sessions, the membership approves the dues for the coming year and elects new Board members. The spring meeting agenda is built around a specific topic of concern to research libraries. Minutes, and later Proceedings, of meetings 1-133 are available in print. Proceedings since meeting 124 are available at <http://new.arl.org/resources/pubs/mmproceedings/>.

**SUGGESTED READING**

An engaging overview of the Association's first 60 years, originally a speech by David H. Stam, can be found online at <http://www.arl.org/bm~doc/pluschange.pdf>. A more detailed history is Frank M. McGowan's doctoral dissertation, "The Association of Research Libraries 1932-1962" (University of Pittsburgh, 1972).