*Celebrating
Seventy Years*

**1932
2002**

Celebrating Seventy Years of the
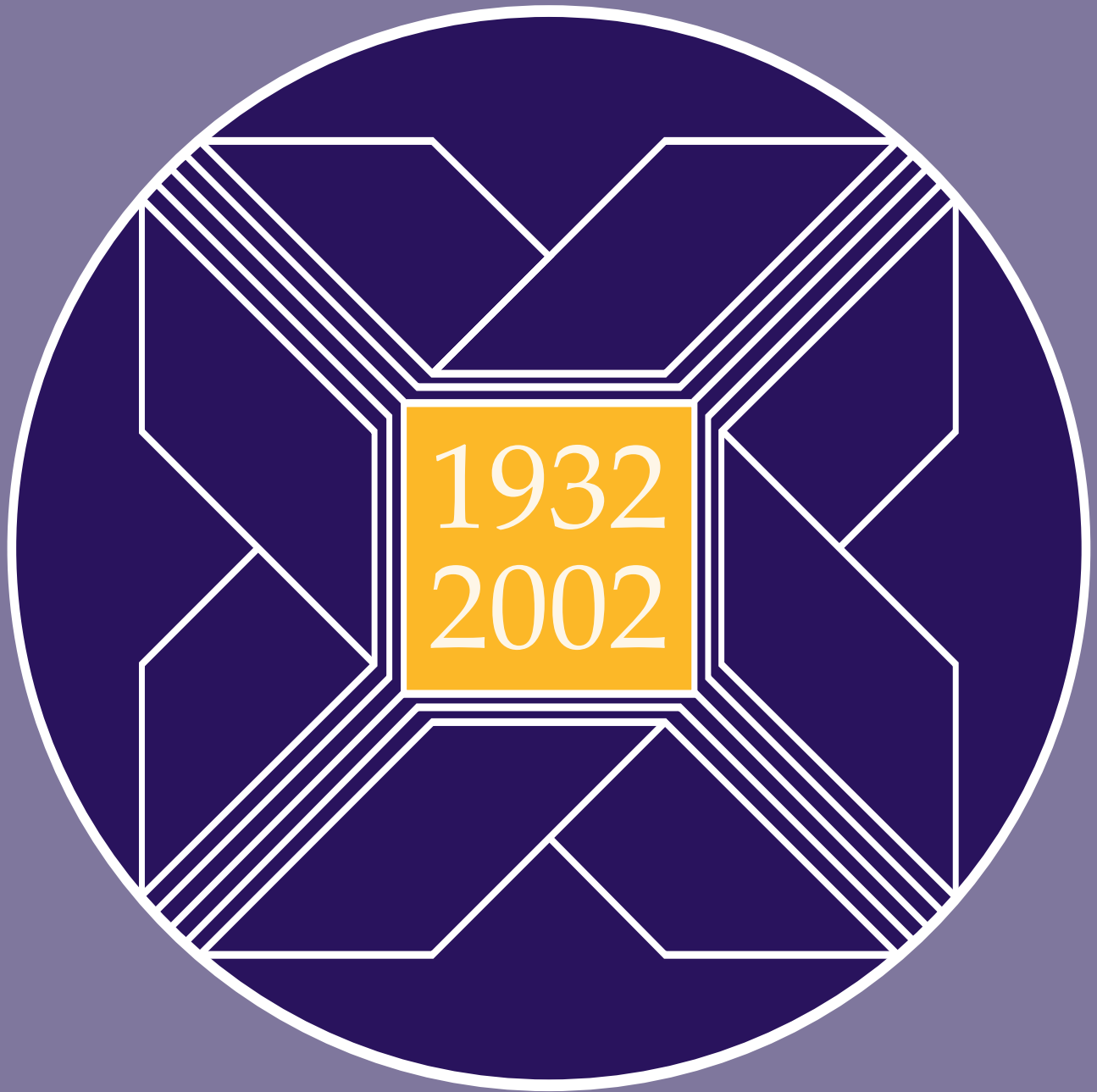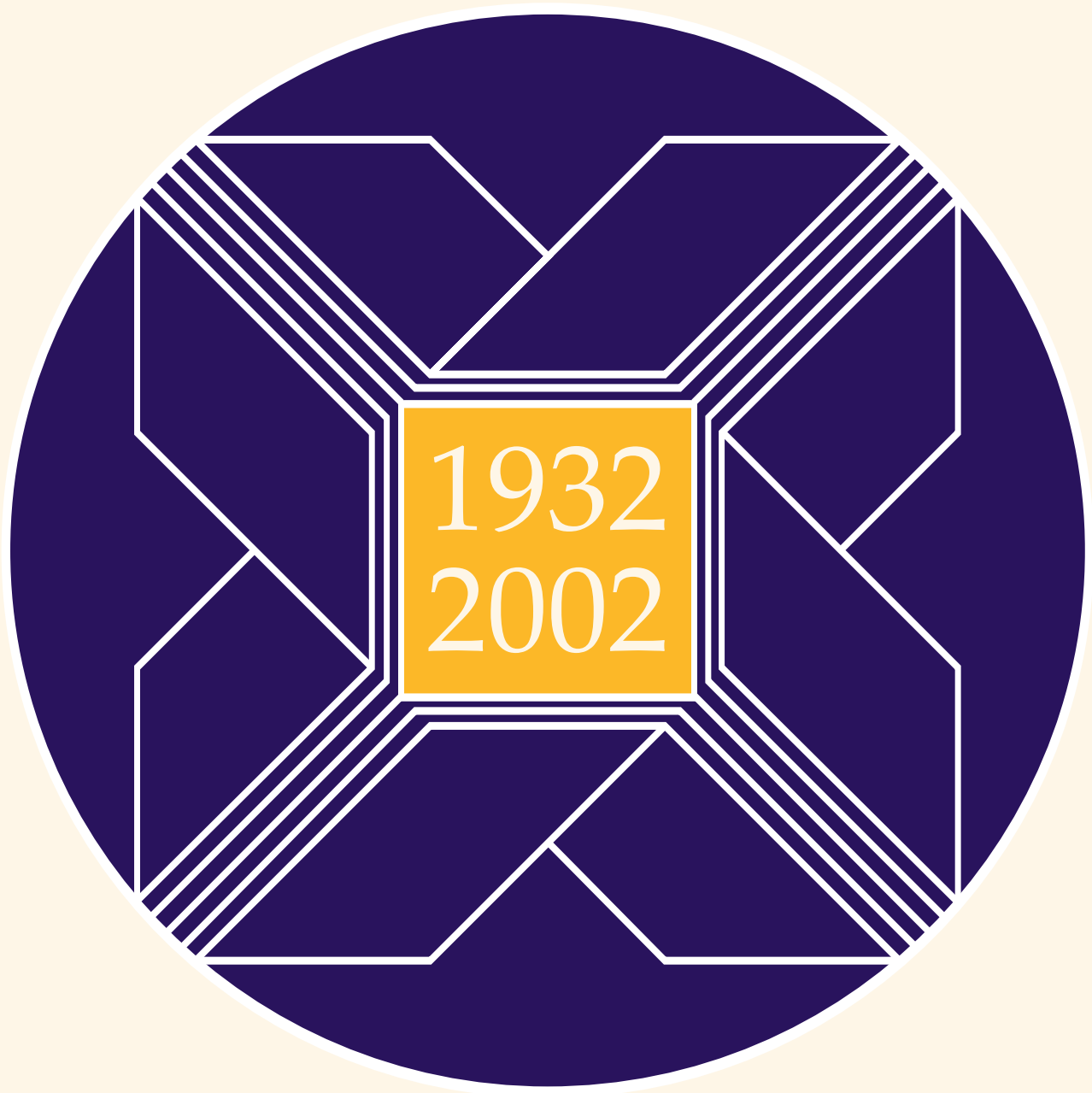*Association of Research Libraries,*
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LEE ANNE GEORGE AND JULIA BLIXRUD

ASSOCIATION OF RESEARCH LIBRARIES

Celebrating Seventy Years of the
Association of Research Libraries, 1932–2002

Compiled by Lee Anne George and Julia Blixrud

Foreword

The Association of Research Libraries was established in 1932 to serve its members and represent their interests. Its goal was to develop, through cooperative effort, the resources and usefulness of research collections in North American libraries. During the past 70 years, ARL has grown from its original 42 members to include 124 major research institutions throughout the United States and Canada. Its programs and activities address all facets of its original goal in its broadest sense, encompassing scholarly communication and research library assessment.

This compilation was prepared for the celebration of the 70th anniversary of the Association. It begins with a bird's eye overview of ARL's history prepared by Lee Anne George and Julia Blixrud. This is followed by a reprint of the remarks given by David H. Stam, Syracuse University, ten years ago this month. Drawing on the ARL archives, he provides an entertaining glimpse into the early history of ARL and the flavor of some of the early exchanges among member leaders. This is followed by a Selected Chronology of the last 70 years of ARL. The compilation concludes with lists of ARL member libraries in the order of their joining the Association, and of the individuals who provided leadership for the research library community.

Many of the issues facing the Association and its members remain the same—promoting and facilitating equitable access to, and effective use of, recorded knowledge in support of teaching, research, scholarship, and community service—but the technological, economic, and social environments have been transformed. The information needs of the scholarly and research communities, of government and industry, have become more far-reaching and sophisticated, using technologies barely dreamed of in 1932 and extending into areas of knowledge that were unknown only a short time ago. That is the excitement of our world and a constant source of new opportunities and challenges. It is not always easy; the choices can be hard and the decisions difficult. But the basic tenet of the Association's founding—cooperative action—remains a solid and effective basis for addressing the many issues facing research libraries.

As ARL and its members look forward to the next 70 years, we are confident in our ability to serve, and serve well, the world of knowledge and scholarly communication.

Paula T. Kaufman, *President*

Duane E. Webster, *Executive Director*

October 2002

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Association of Research Libraries: A Brief History

by Lee Anne George and Julia Blixrud, ARL

BACKGROUND

FOR 70 years, the Association of Research Libraries (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, D.C., with a paid executive director and staff.

In 1987, a series of membership 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 values statement and, based on those values, a new mission statement, revised programmatic objectives, and a set of financial principles to guide the ARL leadership.[1]

ARL Statement of Values

There are certain basic values within the ARL enterprise that continue to be essential elements of Association success. ARL's mission and future strategies must build on and extend these values. Enduring beliefs that bring together Association members in common cause are:

- Open and equitable access to information is a fundamental tenet of our society.

- Research libraries are active agents central to the process of the transmission and creation of knowledge.

- Research libraries have a responsibility to anticipate and prepare for the information needs of present and future users.

- Collaboration among libraries improves the prospects for individual library success in fulfilling local needs.

ARL Mission

ARL is a not-for-profit membership organization comprising over 120 libraries of North American research institutions. The mission of the Association is to shape and influence forces affecting the future of research libraries in the process of scholarly communication. ARL programs and services promote equitable access to, and effective use of, recorded knowledge in support of teaching, research, scholarship, and community service. The Association articulates the concerns of research libraries and their institutions, forges coalitions, influences

information policy development, and supports innovation and improvement in research library operations. ARL operates as a forum for the exchange of ideas and as an agent for collective action.

ARL Strategic Objectives

Objective 1. **Scholarly Communication & Information Policies**
To understand, contribute to, and improve the system of scholarly communication and the information policies that affect the availability and usefulness of research resources.

Objective 2. **Access to Research Resources**
To make access to research resources more efficient and effective.

Objective 3. **Collection Development**
To support member libraries' efforts to develop and maintain research collections, both individually and in the aggregate.

Objective 4. **Preservation**
To support member libraries' efforts to preserve research collections, both individually and in the aggregate.

Objective 5. **Technology**
To assist member libraries to exploit technology in fulfillment of their mission and assess the impact of educational technologies on scholarly communication and on the role of research libraries.

Objective 6. **Staffing**
To identify on an ongoing basis the capabilities and characteristics required for research library personnel to best serve their constituencies, and to assist member libraries and educational programs in the recruitment, development, and effective use of staff.

Objective 7. **Management**
To assist member libraries in augmenting their management capabilities.

Objective 8. **Performance Measures**
To describe and measure the performance of research libraries and their contributions to teaching, research, scholarship, and community service.

To support the renewed values, mission, and objectives, a new framework of capabilities was developed that has mobilized considerable growth of Association activities over the last decade. The current ARL agenda has its roots in this framework and continues to be guided by it.

SCHOLARLY COMMUNICATION

The Serials Crisis

ARL has demonstrated a long-standing interest in issues of scholarly communication, particularly in the economics of scholarly publishing. Concerned with the rapidly increasing volume and price of scholarly journals, the ARL Statistics Committee began collecting more precise data on serials acquisitions in the 1980s that graphically demonstrated the seriousness of the serials prices problem and its impact on library budgets. ARL has maintained this trend data for monograph and serial costs since 1986. The data show in dramatic fashion the increasing unit cost of serials and the significant decrease in monograph purchasing by research libraries.

After several years of significant increases in the price of journals, ARL commissioned two studies to identify factors contributing to the rising costs and to suggest possible remedies. The first study reviewed price data of four major commercial publishers against estimated publishers' costs. The report found that from 1973–87, publishers' profits increased between 40 percent and 137 percent. The results indicated that cost increases did not justify the price increases paid by research libraries. The second study identified multiple factors that contributed to the serials crisis and outlined the effects the crisis was having on library collections and the future of scholarship in North America.

Three recommendations were made as a result of these two investigations. First, that ARL lead efforts with external constituencies to communicate the nature of the problem and the actions needed to

address the causes of it. Second, that ARL orchestrate actions to introduce greater competition to the commercial publishers. Third, that ARL form a partnership with scholarly groups to examine the scholarly publishing process and to find ways to manage the explosion in research and knowledge and the concomitant explosion in publishing.

Office of Scholarly Communication
Following the release of these two studies in the *Report of the ARL Serials Pricing Project* in 1989 [2], the membership voted to establish a formal office to address their concerns. The Office of Scientific and Academic Publishing (OSAP) was established in 1990 to understand and influence the forces affecting the production, dissemination, and use of scientific and technical information. During its existence, the office's agenda has expanded to address all forms of scholarly information. In 1995, the name was changed to the Office of Scholarly Communication (OSC) to reflect the broadened scope. The office promotes innovative and affordable ways of sharing scholarly findings, particularly through new electronic techniques.

To build a better understanding of the evolving publishing environment, OSC tracks mergers and acquisitions in the scholarly publishing arena and continues its efforts with antitrust authorities to raise awareness of library concerns about the increased consolidation of the publishing industry. OSC is working to build a collaborative capacity for data collection and maintenance that will provide libraries with the information necessary to support anti-trust arguments and advance other educational and advocacy initiatives related to scholarly communication.

Electronic Publishing
Early on, ARL recognized that the Internet was changing the way scholarly information was delivered and began tracking the growth of electronic journals and discussion lists. In 1991, OSC began production of an annual directory of these journals and discussion lists that was available both in print and as a searchable, online database. Each directory also included an essay identifying current themes in electronic publishing. [3] The increasing number of entries in each year's

directory—from 110 titles and 517 discussion lists in 1991 to 5,375 titles and 3,807 lists in 1997—illustrated the significant growth in e-journal publishing. The last edition, *Directory of Scholarly Electronic Journals and Academic Discussion Lists* (2000), limited the list of electronic journals to those that are peer-reviewed and still included more than 3,900 titles. Since 1996, OSC has offered publications, workshops, and satellite teleconferences to help guide libraries in negotiating license agreements for access to these and other electronic resources.

Collaborative Efforts
Since the range of scholarly communication issues extends far beyond libraries, ARL collaborates with others in the higher education and publishing communities to transform the nature of the current scholarly communication system. A brief description of some of these efforts in just the last decade shows the breadth and complexity of the issues. In the early 1990s, OSAP partnered with the Association of American University Presses (AAUP) on a series of four symposia on scholarly publishing in electronic networks. [4] The Association of American Universities (AAU) collaborated with ARL in a two-year effort to explore how the education community might respond to the issues identified through the *University Libraries and Scholarly Communication* study on the economics of research libraries that was conducted by The Andrew W. Mellon Foundation in 1992. [5] Task forces were formed to study needs in the areas of foreign acquisitions, scientific and technological information, and intellectual property. Reports of their findings were published by ARL in 1994. [6]

In 1995, the Council on Library Resources (CLR), the State University of New York at Albany, the Coalition for Networked Information (CNI), the National Association for State Universities and Land Grant Colleges (NASULGC), and ARL co-sponsored a conference to address solutions to problems in the economics of information. [7] OSC jointly sponsored a conference with the American Council of Learned Societies (ACLS) and AAUP to focus on the plight of the specialized scholarly monograph in 1997. [8]

With AAU and the Institute for Research on Higher Education at the University of Pennsylvania, OSC collaborated on a Pew Higher Education

Roundtable on Managing Intellectual Property to move the community from discussion to action.[9] ARL co-sponsored a second roundtable with AAU and the University of Kansas in 2000 that resulted in a set of "Principles for Emerging Systems of Scholarly Publishing" that are being used widely to generate discussion and action on campuses throughout North America.[10] In addition, a third roundtable co-sponsored with the National Humanities Alliance and the Knight Higher Education Collaborative in March 2001 addressed issues specific to scholarly communication in the humanities and social sciences.

Because both the publishing industry and the research community are global, OSC began working with colleagues in the newly formed International Scholarly Communications Alliance (ISCA) to develop an agenda for addressing scholarly communications issues globally. In February 2002, research library associations in Australia, Canada, Europe, Japan, Hong Kong SAR, New Zealand, the United Kingdom, and the United States announced they had formed an action-oriented global network that will collaborate with scholars and publishers to establish equitable access to scholarly and research publications.

Open Access

Motivated by the decreasing ability of research libraries to provide access to the world's increasing output of scholarly information, ARL has invested significant resources to ensure equitable access to and effective use of recorded knowledge in support of teaching, research, scholarship, and community service. In early 2002, an ad hoc task force composed of representatives from the Working Group on Copyright Issues, the Scholarly Communication Committee, the Information Policies Committee, and the ARL Board 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 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 addition, the ARL Board supported ARL signing on to the Budapest Open Access Initiative (BOAI). This initiative seeks 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.

SPARC

OSC, in support of the efforts of several ARL member leaders, was instrumental in establishing the Scholarly Publishing and Academic Resources Coalition (SPARC) in 1998. SPARC is an alliance of universities, research libraries, and organizations built as a constructive response to market dysfunctions in the scholarly communication system that have reduced dissemination of scholarship and crippled libraries. SPARC serves as a catalyst for action to create a system that is more responsive to the needs of scholars and academe. Today, SPARC has approximately 240 member institutions in North America, Europe, Asia, and Australia and is affiliated with major library organizations in Australia, Canada, Denmark, New Zealand, the UK and Ireland, and North America.

SPARC's agenda focuses on enhancing broad and cost-effective access to peer-reviewed scholarship. This objective is pursued via three strategic thrusts. The first is incubation of competitive alternatives to current high-priced commercial journals and digital aggregations. This is implemented by publisher partnership programs and advisory services that promote competition for authors and buyers, demonstrate alternatives to the traditional journal business model, and stimulate expansion of the non-profit sector's share of overall

scholarly publishing activity. The second is public advocacy of fundamental changes in the system and the culture of scholarly communication. This encompasses outreach targeted at various stakeholder groups (e.g., librarians, faculty, and editorial boards), as well as ongoing communications and public relations activities that publicize key issues and initiatives. The advocacy thrust leverages the impact of SPARC's publishing partnerships, providing broad awareness of the possibilities for change and emboldening scholars to act. The third is education campaigns aimed at enhancing awareness of scholarly communication issues and supporting expanded institutional and scholarly community roles in and control over the scholarly communication process.

Advocacy and Education

In 2000, OSC, SPARC, and the Association of College and Research Libraries launched the Create Change educational campaign to help faculty transform the system of scholarly communication. The campaign provides content, tools, and strategies to inform faculty on the issues and to encourage them to take specific actions that can help change the system. In 2001, SPARC and the Triangle Research Libraries Network (TRLN) launched *Declaring Independence: A Guide to Creating Community-Controlled Science Journals*, a how-to handbook and Web site that guides editors and editorial board members of scientific journals toward responsible journal publishing. This was followed in 2002 by *Gaining Independence: A Manual for Planning the Launch of a Nonprofit Electronic Publishing Venture.*

Institutional Repositories

SPARC has launched a vigorous international drive for creation of "institutional repositories" for scholarship. Such repositories offer an immediate and valuable complement to the existing scholarly publishing model, while stimulating innovation that will cause the publishing structure to evolve and improve over time. SPARC envisions a long-term scenario in which scholarly and scientific research is openly available to users through interoperable institutional and disciplinary repositories, hosted by universities, societies, and consortia. SPARC's goal during the next several years is to encourage and

facilitate efforts that have the potential to move scholarly publishing toward this outcome. In 2002, SPARC took a step toward this goal with the release of a major white paper, "The Case for Institutional Repositories: A SPARC Position Paper." ARL, SPARC, and CNI, have also sponsored a forum for academic and research library and IT directors on the cultural and management dimensions of establishing an institutional repository to house faculty works, such as articles, data sets, images, video, and courseware.

SPARC Europe

SPARC's successful advocacy and education programs have attracted notice far beyond North America. As a result, delegates at the 2001 LIBER annual meeting in London voted unanimously for LIBER to serve as the umbrella organization for SPARC Europe, a new enterprise to facilitate competition in the European scientific journals marketplace and introduce advocacy initiatives tailored to the European research and library communities. Several national organizations and institutions in Europe joined with LIBER to sponsor the startup of SPARC Europe, which was formally launched from its new office in Oxford, England, in 2002.

FEDERAL RELATIONS, INFORMATION POLICIES, INTELLECTUAL PROPERTY AND COPYRIGHT

Federal Relations

It was no accident that the ARL offices were established in Washington, D.C. Research libraries are part of a larger community of higher education and scholarly societies that tended, in the 1960s, to congregate offices in the nation's capital to influence federal policy. Initially, ARL rented space in a large row house at 1527 New Hampshire Avenue near Dupont Circle. The building was and still is owned and occupied by the American Political Science Association (APSA). Until ARL outgrew the space in 1993, APSA was an important landlord. Physical proximity helped the staffs of both organizations to understand their constituencies better and to see where interests were shared and in some cases intertwined. The collegial relationship between

ARL and APSA laid the groundwork for ARL to connect with the leaders of other scholarly societies, higher education, and not-for-profit associations in order to engage them in issues raised by the transformation of the system of scholarly communication.

Since one of ARL's key roles is to represent members' interests before Congress and other federal agencies, the Association has a history of engagement with 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. For example, the executive director and member libraries played major roles in the seven years of deliberations that led to the 1976 revision of the U.S. Copyright Law.

By the early 1980s, ARL members concluded that the range of federal relations issues was expanding enough to warrant a dedicated program to follow and analyze these developments. In 1984, ARL added a Federal Relations Program Officer to focus on the wide array of issues. At the time, in addition to matters related to copyright, some of the more dominant issues confronting research libraries included: reauthorization of the Higher Education Act (especially Title II-C, Strengthening Research Library Resources); changes in the rates charged to libraries for telecommunication services; proposed restrictions on public access to government information and on government agency roles in disseminating information; and federal support for preservation of research resources.

In 1996, the Federal Relations Program Officer registered as a lobbyist. The current Federal Relations program tracks activities of legislative, regulatory, and government agencies and related organizations in North America and abroad that impact research libraries. The program analyzes, responds to, and seeks to influence information, intellectual property, and telecommunications policies; promotes funding for numerous U.S. agencies and national institutions; and advances ARL positions that reflect member interests.

Information Policy

To influence information policy issues, the Federal Relations and Information Policy program works with various agencies and offices including the National Science Foundation, United States Geological Survey, Government Printing Office, Office of Science and Technology Policy, Institute for Museum and Library Services, the Office of Management and Budget, and others. The program also participates in the Library Services and Technology Act reauthorization coalition that is composed of representatives from library associations and other parts of the library community. Through the Canadian Association of Research Libraries (CARL), the Federal Relations program monitors Canadian information policies. In 2000, the ARL membership endorsed a direct investment in a Canadian-based advocacy effort led by CARL.

By the early 1990s, research libraries, especially those that were depositories for U.S. government documents, were receiving large quantities of geographical spatial reference information in electronic form. But many libraries lacked the system components necessary to allow the information to be used effectively. The Federal Relations program, in partnership with Environmental Systems Research Institute, Inc. (ESRI), launched the Geographic Information Systems (GIS) Literacy Project in 1992. This multi-phased project has been introducing, educating, and equipping librarians with the skills necessary to provide access to digital cartographic and spatially referenced data. In 1995, the project expanded participation to Canadian libraries. ARL also was represented in discussions leading to the development of a national spatial data standard.

Intellectual Property and Copyright

In the early 1990s, the ARL Board of Directors identified intellectual property and copyright as defining issues for the future of scholarly communications and research libraries. In response, the Association developed a five-year strategic plan on copyright and intellectual property issues and established the Working Group on Copyright Issues. During this decade, the Association participated in the Conference on Fair Use (CONFU) and was instrumental in assuring that the rights of both owners and users of copyrighted materials could be

accommodated in the World Intellectual Property Organization (WIPO) treaty discussions. In addition, the Association worked to ensure that the Digital Millennium Copyright Act (DMCA) also balanced owner and user rights and addressed term extension and database legislation on behalf of the library community. While these issues have been a priority for several years, activity has accelerated in recent years because of developments in the U.S. Congress, state legislatures, and the courts.

As part of the Association's interest in raising library and scholarly community awareness of issues associated with copyright and intellectual property management, the Federal Relations program participates in a number of collaborative efforts to advance its agenda in these critical areas. For example, ARL was instrumental in establishing the Digital Future Coalition (DFC) composed of a diverse constituency of library, education, legal, scholarly, consumer, and public interest associations; hardware and software manufacturers; and telecommunications providers. DFC members share many common concerns with copyright and intellectual property legislation and the Uniform Computer and Information Transactions Act (UCITA) and believe that any legislation must strike a balance between owners, users, and creators of copyrighted works. ARL is also a member of Americans for Fair Electronic Commerce Transactions (AFFECT), a broad-based coalition of end-users and developers of computer information and technology opposed to UCITA.

In 1995, in response to a growing focus on copyright and intellectual property issues in the national and international arenas, ARL formed the Shared Legal Capability (SLC) with the American Library Association (ALA), the American Association of Law Libraries (AALL), the Medical Library Association (MLA), and the Special Libraries Association (SLA). SLC seeks to ensure a unified voice and common strategy for the library community in responding to and developing proposals to amend copyright and intellectual property law and policy for the digital environment. To help educate the community, SLC sponsors teleconferences on key issues such as the DMCA, UCITA, the USA PATRIOT Act, and related initiatives. SLC collaborates closely with a number of other organizations and alliances including DFC and the National Humanities Alliance (NHA).

ARL also works collaboratively with the six major presidential associations—the American Association of Community Colleges (AACC), American Association of State Colleges and Universities (AASCU), Association of American Universities (AAU), American Council on Education (ACE), National Association of Independent Colleges and Universities (NAICU), and National Association of State Universities and Land Grant Colleges (NASULGC)—on national policies governing digital networks, intellectual property, and information technology.

The Database Coalition is composed of members of the leading library associations and higher education community, high-tech portals such as Yahoo! Inc., financial services companies such as Bloomberg Financial Markets and Charles Schwab and Company, Inc., and telecommunications companies such as AT&T. In partnership with this ad hoc coalition, ARL supports balanced, narrowly targeted legislation that would provide additional protections to databases.

Court Cases and Legislation

In 2001, the Federal Relations program represented ARL interests in a number of amici curiae briefs that were filed in copyright and intellectual property court cases. ARL and ALA filed an amici curiae brief in the case of *The New York Times v. Tasini* to present the library perspective to the U.S. Supreme Court concerning the practical effects of the issues at stake in the case. The brief supported the authors as did the Supreme Court ruling in favor of Tasini. ARL, ALA, the American Association of Law Libraries, and the Medical Library Association filed an amici curiae brief in support of the National Geographic Society petition for certiorari before the U.S. Supreme Court in the case of *Greenberg v. National Geographic Society*. The court declined to hear the case.

Several court cases provided visibility to Section 1201 of the DMCA, the provision concerning anti-circumvention of technical protection measures. ARL, together with ALA, DFC, the American Civil Liberties Union, and others, filed an amici curiae brief in the case *Universal City Studios v. Eric Corely et al.*—commonly known as the "DVD case"—to

address First Amendment and fair use concerns raised in the case.

The Sony Bono Copyright Term Extension Act extended the term of copyright from life of the author plus 50 years to life plus 70 years. The court case *Eldred v. Ashcroft* challenges the constitutionality of the Act. The U.S. Supreme Court agreed to hear the case in 2002. In support of the challenger's case, the five major national library associations and ten other groups submitted an amici curiae brief. In addition to showing how the law exceeds the "limited times" of protection authorized by the Constitution's Copyright Clause, the brief highlights the substantial harms that flow from keeping works under copyright protection almost perpetually, thereby stifling the public domain.

Results of the implementation of the DMCA were a major focus of the program during 2001. The U.S. Copyright Office released the *DMCA Section 104 Report* on the impact of the DMCA and electronic commerce and associated technologies on Sections 109 and 117 of the Copyright Act in August. In the report, the Registrar of Copyrights recommended no change in the law, especially with respect to extending the first sale doctrine into the digital age.

In 2002, Digital Rights Management systems (DRMs) emerged as a critical concern for libraries. Several recent developments have focused attention on the impact of DRMs on access to and use of electronic resources. Several DRM related bills have been introduced in Congress and are under active consideration while the FCC has been asked to consider issues relating to redistribution of digital broadcasts over the Internet. In addition, an industry group is moving ahead with efforts to develop rights language that could end up as the standard in a government mandated DRM system. Efforts are underway in higher education to develop DRMs that would meet the needs of the research, networking, and library communities.

Appropriations

Since its beginning, the Association has had a role in advocating appropriations for U.S. government agencies that have an impact on scholarly information. The program currently works in support of appropriations for the National Science Foundation, the National Agricultural Library, the National Library of Medicine, the National Endowment for the Humanities, the Library of Congress, the National Archives and Records Administration, the Institute for Museum and Library Services, and the Government Printing Office Superintendent of Documents.

COLLECTIONS, ACCESS, AND RESOURCE SHARING

By focusing on both local and collaborative strategies, the Collections Services program enhances the availability of ARL member libraries' collections, regardless of their location. Over the years, the program's efforts have included improving the structures and processes for effective cooperative collection development, along with access to digital resources; collaboration with other organizations in collections-related projects, both in North America and internationally; attention to general issues of collections policies and budget management; and the promotion of government and foundation support for collections of national prominence in the United States and Canada.

Foreign Publications

One of the first and most influential activities of the Association was in the area of collection development, bibliographic control, and resource sharing. Libraries, and research libraries in particular, recognized the importance of sharing both their expertise and their resources in order to improve operations and extend services. This was especially the case for foreign-language publications. The Farmington Plan was particularly important in the Association's early history.[11] Proposed in 1942 by a committee of the Librarian's Council of the Library of Congress, it 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. Although important in its time for making foreign books available in the U.S., by 1972 tensions between cooperative collection responsibilities and institutional priorities, the complexities of the subject allocations, the high costs of acquiring and processing materials, and the perceived inclusion of

materials marginal to local interests all contributed to the decision to terminate the Farmington Plan.

The importance of foreign materials to research libraries continued to be of concern to the Association. In 1968, with a grant from the Ford Foundation, ARL established its Center for Chinese Research Materials (CCRM), 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.[12] 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. Funding came from The Andrew W. Mellon Foundation. This program's principal goals are to improve access to international research resources and help libraries contain costs.

Among the program's components are: a set of six regional projects; multiple digitization efforts; the identification of lead institutions responsible for collecting and preserving materials, as well as developing digital repositories and linkages; efforts to ensure a future supply of area library specialists with both strong subject and technical knowledge; and partnerships with libraries, associations, and other organizations in North America and abroad to facilitate the awareness and use of international resources. The six projects within the program are: Latin Americanist Research Resources Project; German Resources Project; Japan Journal Access Project; Digital South Asia Library Project; Southeast Asian Journals Project; and Cooperative African Newspapers Project. A Slavic document delivery project is under development.

In June 2002, directors and AULs of 37 ARL member libraries met to discuss priorities for the program and to advise on its future directions. Nine institutions also pledged funds to support a part-time program officer at ARL to bridge the gap between the full expenditure of Mellon grant funds

(May 2002) and the development of the next phase of activities and a new funding structure for the program. The meeting signaled a reaffirmation of the importance of global resources, the growing need to maintain and develop collections and services, and strong support for a continued close relationship with the AAU in efforts to expand the GRP.

Special Collections

For most 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, which were published in 2001,[13] found that special collections constitute a vast and varied resource that is growing not only in size, but also in scope. The symposium "Building on Strength: Developing an ARL Agenda for Special Collections" brought together ARL directors, special collections librarians, invited scholars, and guests to discuss the status of special collections, explore their potential for enhancing research and education, and address the factors that facilitate or impede the realization of this potential.

A new ARL Special Collections Task Force was formed in late 2001 and charged to engage and advance the agenda that emerged from the "Building on Strength" symposium. This group brings 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). The task force will develop 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 19th and 20th 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.

Serials Cataloging

ARL was instrumental in establishing CONSER (CONversion of SERials) in the early 1970s when many of its members were converting manual serial catalogs into electronic databases. An ARL committee on union lists recognized the importance of collectively working together to create a national database that would support local cataloging efforts. Managed by the Library of Congress with funding from CLR, the project evolved into an ongoing program to create and maintain high quality bibliographic records for serials. In 1983, ARL began the CONSER Abstracting and Indexing Coverage Project, which added information about indexed and abstracted titles to the CONSER database. This project, cooperatively developed with the National Federation of Abstracting and Information Services and the Library of Congress, was an early precursor to the recognition of the importance of linking bibliographic references to library catalogs. Today's hyperlinking between and among databases is a manifestation of the ideas first presented in that project 20 years ago. In keeping with its evolutionary process, the CONSER Project was renamed in 1986 as the CONSER (Cooperative ONline SERials) Program. The database resides within the OCLC Online Union Catalog and CONSER members worldwide now contribute, authenticate, and modify serial cataloging records for the collective benefit of libraries.

Collection Analysis

To assist individual libraries in reviewing, describing, evaluating, and analyzing their collection program, the Collection Analysis Project (CAP) was developed during 1977–78 and underwent several years of testing and refinement. CAP employed an assisted self-study process. From its inception, about 20 ARL libraries completed the self-studies, and a significant number of member libraries used CAP resources and methodology. CAP continues to offer a useful structure and conceptual framework for the study of collection management by research and other academic libraries.

In 1983, working with the Research Libraries Group (RLG), ARL began the North American Collections Inventory Project (NCIP). The project used the RLG Conspectus, a tool for making an inventory of a library's existing collection strengths and collecting intensity through a survey using worksheets based on the Library of Congress's classification scheme. The project's long-term goal was to develop an online North American inventory of research collections that could assist scholars in locating materials needed to support their research. As a corollary result, the inventory was expected to enhance coordinated maintenance of these vital resources. In the early 1990s, the Western Library Network (WLN) developed PC-based software that enables libraries to create and/or maintain a local collection assessment database. Currently, OCLC/WLN offers conspectus-derived Collection Assessment and Analysis Services.

Resource Sharing

Between 1989 and 1992, the Association recognized that resource sharing concerns had moved beyond bibliographic control. In 1992, the Access to Information Resources Committee was established to address the growing array of issues. The current ARL Access Services program works to strengthen interoperability among library systems and to promote policies that increase user access to information both onsite and remotely in order to promote resource sharing among research libraries and minimize costs.

Interlibrary loan activity was an early focus of the program. Data collected by ARL since 1986 shows the significant and growing reliance on borrowing materials to support research activities. In 1994, the program developed a strategic direction statement that articulated the basic and ultimate goals of its ongoing activities. A centerpiece of the program was the North American Interlibrary Loan and Document Delivery (NAILDD) Project. This project was initiated in 1993 to facilitate the development of standards, software, and system design capabilities to improve interlibrary loan and document delivery 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.

A key standard that the Access program has worked to advance is the International Standards Organization (ISO) ILL Protocol. At the 2001 IFLA Conference in Boston, five vendors exchanged ISO ILL messages to an overflow crowd of over

70 librarians from more than a dozen countries. This was an historic moment, as it represented the first time that more than two vendors exchanged ILL messages. This workshop demonstrated the successful implementation by these five vendors as well as other members of the NAILDD Project's ILL Protocol Implementors Group (IPIG). The Access program also promotes use of the ISO ILL Protocol in the AAU/ARL GRP Japan Journal Access Project and the German Resources Project.

The Interlibrary Loan/Document Delivery (ILL/DD) Performance Measures Study was a two-year effort to measure the performance of ILL departments in 119 North American research and college libraries in 1995–96. The study, funded by The Andrew W. Mellon Foundation, examined four performance measures: direct cost; fill rate; turnaround time; and user satisfaction. The results of the study were published as *Measuring the Performance of Interlibrary Loan Operations in North American Research and College Libraries* in 1998.[14] Techniques to implement the best practices of high-performing borrowing and lending operations in research libraries were the basis for the "From Data to Action" workshops. Over 400 librarians and representatives from the commercial community attended the 12 workshops offered between October 1998 and March 2001. ARL plans to update, replicate, and expand the 1997 ILL/DD Performance Measures Study to obtain current data on the performance of mediated and user-initiated interlibrary loan/document delivery operations in research and academic libraries. This 12-month project, undertaken as part of ARL's New Measures Initiative, will begin in September 2002.

Portals

A Scholars Portal Working Group was established in 2000 to advance the concept of a collective research library presence on the Web. The concept was first identified at the 1999 ARL/OCLC Strategic Issues Forum in Keystone, Colorado, and was further articulated by Jerry Campbell in April 2000 in "The Case for Creating a Scholars Portal to the Web: A White Paper." During the first half of 2001, the working group narrowed its focus to the development of specifications for a "super-discovery tool." This tool would search, aggregate, integrate,

and deliver licensed and openly available digital content across a broad range of subject fields and from multiple institutions. Members of the working group agreed early on that it would not be desirable for ARL to develop the tool itself but rather to identify potential partners with whom to collaborate in the tool's development. The working group conducted an environmental scan that identified a wide range of companies and products that have been described as "portals."

On May 1, 2002, ARL announced the launch of the Scholars Portal Project, a three-year collaboration between several ARL member libraries and Fretwell-Downing Inc. (FD). The goal of the Scholars Portal Project is to provide software tools for an academic community to have a single point of access on the Web to find high-quality information resources and, to the greatest extent possible, deliver the information and related services directly to the user's desktop. The initial focus of the Scholars Portal Project will use FD's ZPORTAL and several related FD products to deliver cross-domain searching of licensed and openly available content in a range of subject fields and from multiple institutions. Over the course of the three years, the project will expand to include other services that improve user access to and use of information resources, such as integration of the searching tool within the local online learning environment for a course and linkage to a 24/7 digital reference service to consult with a reference librarian.

With the beginning of the Scholars Portal Project, the Scholars Portal Working Group issued its final report[15] and recommended that it be disbanded and replaced with a working group on portal applications. The new group, Portal Applications Working Group, was established in May 2002. It fosters the definition and development of portals for research libraries and the communities they serve, and ensures ARL's presence in discussions of similar initiatives advocating the integration of information technology and content for the benefit of the academic and research communities. The working group also monitors how libraries are applying portal technology and seeks to identify common issues or barriers to successful implementations.

PRESERVATION

Microforms

Microreproduction projects were advocated at one time by ARL as an important means of preserving research materials. The Foreign Newspaper Project was inaugurated in 1955 and handled by the Center for Research Libraries for ARL. Subscribers to the project could borrow microfilm copies of any of the more than 140 newspapers filmed or purchase positive film copies. In 1958, a similar project for filming foreign official gazettes was started and managed by the New York Public Library. With ARL in an advisory role, University Microfilms, Inc. (UMI) took on a project for filming American doctoral dissertations. Beginning with the years 1955-56, UMI also assumed publication of the *Index to American Doctoral Dissertations*, which ARL, with the help of a grant from the ACLS, had published as *Doctoral Dissertations Accepted by American Universities* on an annual basis for the years 1933 through 1955.

The Association's concern for the preservation of works on deteriorating paper also led to its important role in the development of the National Union Catalog of Manuscript Collections (NUCMC). Two grants from CLR in the early 1960s enabled ARL to fund studies that first analyzed the magnitude of the problem and then proposed a solution: the establishment of a central agency, federally supported, to provide preservation services to research libraries using the best technical means available, to disseminate copies of what was preserved, and to provide bibliographic control through the National Union Catalog.[16] Late in 1965, the Library of Congress agreed to undertake a pilot project in accordance with this proposal, and the project began in 1967 with further financial assistance from CLR. NUCMC has evolved into a free-of-charge cooperative cataloging program operated by the Library of Congress. NUCMC catalogers create MARC (Machine Readable Cataloging) bibliographic records for manuscripts in eligible repositories (those lacking the means of creating their own catalog records) for inclusion in the Research Libraries Information Network (RLIN) database. Information about the manuscripts is available in RLIN and accessible to researchers throughout the world.

In 1961, ARL endorsed a report and recommendations conducted under another CLR grant—this one on the bibliographic control of microforms.[17] Nearly all the recommendations were carried out, chiefly by the Library of Congress, which established the National Register of Microform Masters (NRMM) in 1965. The Library of Congress published the NRMM through 1984, at which time the wide availability of catalog records in OCLC and RLIN made publication unnecessary. In 1986, ARL and the Library of Congress cooperated on another project, this one to convert all of the monograph and serial preservation microform master records listed in the NRMM to machine readable format. The project, funded by the National Endowment for the Humanities, was completed in 1997. More than 579,000 online records were created as part of this project. These and other newer NRMM reports are now available online in the OCLC and RLIN databases.

Training Programs

In the early 1980s, ARL provided some of the earliest training for preservation programs. *Preservation Planning Program: An Assisted Self-Study Manual for Libraries*, published in 1987 and revised in 1993, provides a well-tested methodology for comprehensive preservation planning and aims to assist libraries with their efforts to establish or augment local preservation programs.[18] The manual is complemented by seven *Preservation Planning Program Resource Guides* that offer a conceptual framework to facilitate preservation decision making within specific program areas and serve to help libraries assess current practices. The seven guides address *Staff Training and User Awareness in Preservation Management*, *Options for Replacing and Reformatting Deteriorated Materials*, *Disaster Preparedness*, *Collection Maintenance and Improvement*, *Organizing Preservation Activities*, *Collections Conservation*, and *Managing a Library Binding Program*.

In response to the dramatic changes that have taken place in preservation over the past decade, ARL has reasserted the importance of preservation as a fundamental responsibility of research libraries. The ARL Committee on the Preservation of Research Library Materials held retreats in June 2000 and

February 2001 to craft a new action agenda that was finalized in May 2001. The priorities focus on strengthening the commitment of ARL members to preserve collections basic to an understanding of our intellectual and cultural heritage through an active stewardship that enables current and future consultation and use of library resources. ARL and the University of Michigan cosponsored a conference in March 2002 to educate the community on these high-priority preservation issues. Addressing another priority item on its new action agenda, the preservation committee developed a statement on the role and responsibilities of research libraries in relation to preservation. The statement was approved by the committee at its May 2002 meeting and subsequently approved by the ARL Board.[19]

Digital Information

As more research libraries become engaged in managing digital information, the focus of the Preservation program has expanded to include identification of the challenges faced by libraries as they try to preserve expanding print collections, as well as experiment with the use of digital technology as a preservation medium. A survey on preservation and digitizing in ARL libraries was sent to members in June 2000 to help the Preservation committee identify specific issues that need to be addressed and actions that might be taken by ARL to advance its preservation goals. Eighty-three ARL libraries responded and the results were published in SPEC Kit 262, *Preservation and Digitization in ARL Libraries*. In 2001, ARL staff worked with the Council on Library and Information Resources (CLIR) and other library associations to conduct a survey of member policies on preserving digital information. This information will help inform the Library of Congress as it develops a plan for a National Digital Preservation Program.

ARL has actively participated in an Institute for Museum and Library Services (IMLS) project with CLIR, the University Libraries Group, and the Regional Alliance for Preservation to research and document current conditions and challenges in preservation programs in American college and research libraries. The first phase of the project, conducted during the winter of 2002, focused on collecting quantitative data on preservation and

digitizing activities, as well as institutional context for the non-ARL libraries represented in the group. The ARL Preservation Statistics survey served as the basis for this inquiry. The second phase of the project, designed to document preservation needs, was undertaken through visits to 20 representative libraries, including six ARL member institutions. The final report is due by the end of 2002.

ARL established a Web-based registry for descriptions of digital initiatives in or involving libraries. The Digital Initiatives Database was developed in collaboration with the University of Illinois at Chicago in response to comments made during the October 1997 membership meeting calling for greater information sharing about lessons learned from ongoing digitizing projects.

The ARL community is investigating how best to employ the range of preservation strategies to preserve born digital information and the artifact, when appropriate.[20] The Preservation program will work to encourage the best use of the array of preservation strategies presently available and support the development of promising new methods and to develop preservation staff in ARL institutions.

TECHNOLOGY

Coalition for Networked Information

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 21st century, ARL, CAUSE, and EDUCOM 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.

The Coalition is supported by a task force of about 200 dues-paying member institutions representing higher education, government, publishing, scholarly and professional societies, libraries, networking and telecommunications, and information technology. CNI works on a wide range of issues structured around four themes: developing and managing networked information content; transforming organizations and professions; building technology, standards, and infrastructure; and actively advocating networked information strategies.

ARL Technology Infrastructure

Telecommunications networks not only played a role in transforming education, they also transformed the way the Association conducts its business. CNI brought a network fileserver up on the Internet in fall 1991. This server provided e-mail for CNI and ARL staff and access to Association information via FTP, Gopher, and a BRS/SEARCH full-text retrieval system. In 1994, this network connectivity provided by CNI enabled ARL to implement a strategic goal of expanding the Association's presence and outreach through the Internet. A full-time Electronic Services Coordinator was hired and quickly developed an ARL Gopher server that provided access to information on Association programs, services, and publications. In 1998, ARL retired the Gopher service and moved more than 3,000 documents to the Web.

In 2001, the Information Technology Support capability was established to create, manage, and expand ARL Internet services, including the Web site, and support the computing needs of the Association. The capability advances Association electronic publishing by making documents and other resources of importance to the research library community available online and by creating and maintaining a variety of databases that serve a wide range of member information needs. This supporting capability also fosters communication among the ARL membership and with the public through the creation and maintenance of dozens of electronic discussion lists.

STAFFING, MANAGEMENT, AND LEADERSHIP

Office of Leadership and Management Services

Of critical importance to the future of research libraries is the availability of programs to support the continuous improvement of library organizations and their leaders. The importance of effective library organization was recognized as early as 1968 when ARL and CLR began discussions on university library management problems. Subsequent discussions with the American Council on Education (ACE) led to the creation of the Joint Committee on University Library Management. With funding from CLR, the committee sponsored a comprehensive study of university library management with the consulting firm Booz, Allen & Hamilton. The objective of the study, which began in April 1969, was to identify opportunities to improve the ways university libraries plan and use their resources.

A report on the study was published as *Problems in University Library Management* in 1970.[21] Acting on the report recommendations, ARL created the Office of University Library Management Studies and hired a full-time director for the office. One of the first tasks of the office was to join with Booz, Allen & Hamilton in a detailed investigation of the organization and staffing of the libraries of Columbia University. The study was carried out in 1970–71 and the full report was published in 1973.[22] As a result of the study, CLR awarded the office a three-year grant to develop, test, and implement the Management Review and Analysis Program (MRAP), a detailed management self-study technique.

With the success of this program, the office soon began to develop additional self-improvement programs that addressed core library programs, including the Collection Analysis Program (CAP), the Preservation Planning Program (PPP), and the Public Services Study (PSS). Subsequently, the office developed self-study programs that reached out beyond ARL to the broader academic community. Among these were the Academic Library Development Program (ALDP), for medium-sized libraries, and the Planning Program for Small Academic Libraries.

In 1988, the office became the Office of Management Services (OMS) in recognition of the

office's mission to provide service, not just studies, to research libraries and their staffs. The name change to the Office of Leadership and Management Services (OLMS) in 1998 recognized the office's long-standing commitment to developing library leaders, as well as organizations. Since 1976, the office has developed an array of workshops, institutes, and tools that help individuals become leaders in their organizations. Through leadership training programs, basic management skills are taught to new managers, and well-designed, professional leadership development opportunities are provided to higher-level leaders, particularly Associate University Librarians. Since these programs began, more than 20,000 participants have benefited. In addition, OLMS offers custom designed consulting services to address an individual library's specific development needs.

To support the organizational and leadership development programs, OLMS publishes information on current operating practices and policies in research libraries. Publications in its SPEC Kit series, for example, serve as guides for libraries as they face ever-changing management problems as diverse as recruiting and retaining library staff, starting up new services such as electronic reserves and chat reference, reorganizing traditional library units to respond to changing service demands, and managing the security of collections and facilities. Through the OLMS Collaborative Research and Writing Program, participating librarians work with ARL staff to design the surveys, evaluate the responses, write the analysis, and edit the components of the completed SPEC Kit. Originally established as an information resource for ARL member libraries, the more than 270 titles in the SPEC Kit series now serve the needs of the library community worldwide. The writing program also supports the Occasional Papers series and other writing projects.

OLMS is currently assisting research libraries to improve their management and service capabilities as they adapt to a changing world of scholarship and information, new technological developments, and increasingly stringent economic conditions. To achieve these ends, OLMS offers consultation and assisted self-study services; provides training opportunities on a variety of topics; publishes a wide range of materials on management techniques, technology, and staff development; and conducts other projects geared toward solving the organizational and leadership problems of research libraries.

Online Lyceum

To take advantage of the availability of new technology and meet the demands for new forms of training, the ARL/OLMS Online Lyceum was established in 1999. A collaborative partnership between ARL's Office of Leadership and Management Services and Southern Illinois University at Carbondale's Instructional Support Services, the Online Lyceum provides affordable and innovative professional development opportunities via distance learning technology. The Online Lyceum specializes in the development of interactive, Web-based learning that provides critical content and instruction related to issues and trends in research libraries, including management skills and leadership development. In 2001, nearly 150 library and information technology professionals took advantage of these online learning opportunities. Several new courses have been developed for 2002.

Diversity

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, OLMS worked with ARL 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 OLMS 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.

Today, the Diversity program has two major activities: the Leadership and Career Development Program (LCDP) and the Initiative to Recruit a Diverse Workforce. Both programs focus on the

recruitment and retention of persons from diverse racial, ethnic, and national backgrounds. Since research supports the belief that successful recruitment and retention of minority personnel depends in large measure on the work environment, climate issues must be an ongoing concern for libraries.

LCDP prepares talented mid-career librarians of color for leadership roles and positions in the research library community. Since it was launched in 1997–98, the program has completed two successful offerings with a total of 38 participants. A combination of theory—presented by key leaders in the research library community—and experiential learning opportunities allow for exploration of critical issues facing leaders in the research library and higher education communities. Twenty librarians, representing a variety of library backgrounds, years of experience, and racial and national origins, were selected to participate in the 2001–2002 program class. New participants will be recruited for 2003–2004. The Medical Library Association (MLA) has asked to participate in the program and has proposed sponsoring two LCDP participants from the medical library community by providing mentors and financial support.

The Initiative to Recruit a Diverse Workforce grants stipends to students from minority backgrounds to assist in the completion of their MLS degree. Grantees agree to a minimum two-year working relationship with an ARL library upon graduation. Four stipends were awarded in 2000. In 2001, the program focused on enhancing the base fund by seeking grant funds and other contributions. This activity will continue in 2002 and beyond. In addition, four new grantees were selected for the 2002–2003 academic year. An advisory group of deans from ARL and other libraries and the ARL Diversity Committee continue to provide guidance and support for the program.

Career Information

The Diversity Program and OLMS have worked closely to create the Research Library Residency and Internship Program Database. The database lists residency and internship information available on a broad range of career opportunities for future and new professionals. This tool was created to attract new and transitioning professionals who are interested in academic and research library careers.[23]

The ARL Career Resources Online Service was established in 1996 to provide job hunters with an easy-to-use tool for finding positions in ARL member libraries and to assist institutions in attracting a qualified, talented, and diverse applicant pool. It allows users to search a database of current announcements by service category, region, state or province, or institution. Since its inception, the service has hosted over 2,300 announcements from member and nonmember libraries alike.[24]

STATISTICS AND PERFORMANCE MEASURES

Descriptive Statistics

One of the longest-running and most recognizable activities of ARL is the statistics program. Quantitative and descriptive statistics have been collected and published annually by ARL since 1961–62. The publication *ARL Statistics* describes the collections, expenditures, staffing, and service activities of the member libraries of ARL. Before 1962, annual statistics for university libraries were collected by James Gerould, first at Minnesota and later at Princeton. These data cover the years 1907–08 through 1961–62 and are now called the Gerould Statistics. The whole data series from 1908 to the present represents the oldest and most comprehensive continuing library statistical series in North America.

The *ARL Annual Salary Survey*, first published for 1972–73, currently compiles data for over 12,000 professional positions concerning 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. Published annually from 1992–93 to 1998–99, *ARL Academic Law and Medical Library Statistics* reported data on collections, expenditures, staffing, and user services in the law and medical libraries of ARL university members. For the 2000–01 edition, the publication was split into two parts, the *ARL Academic Law Library Statistics* and the *ARL Academic Health Sciences Library Statistics*. *Preservation Statistics*, published annually since 1988–89, includes data tables on personnel, expenditures, conservation

treatment, preservation treatment, and preservation microfilming, as well as an in-depth analysis of data by size of library. In 2000, *ARL Supplementary Statistics*, with data on the size and kind of member's electronic resources, was first made available to the public, after being used since 1983 as a test for collecting information on new measures in libraries. *Developing Indicators for Academic Library Performance: Ratios from the ARL Statistics*, which presented 30 selected ratios that describe changes in internal library operations, as well as resources per faculty and per student, for the ARL university libraries over a two-year period, was published for the years 1992 through 1999. Those ratios can now be generated from the interactive Web site that is maintained by the Geospatial & Statistical Data Center at the University of Virginia Library.

For many years, the traditional statistics projects, *ARL Statistics* and the *Salary Survey*, were supported through volunteer efforts from member institutions. Kendon Stubbs, of the University of Virginia, served as the consultant for the main statistics and Gordon Fretwell, University of Massachusetts at Amherst, was the salary survey consultant. They were instrumental in establishing the data collection activities and ensuring the consistent high quality of the data. In 1994, the program was expanded to include a full-time program officer and the data gathering activities were transferred in-house. Activities increased substantially: additional surveys were undertaken; the statistics were made available over the Web; more extensive custom reports were made available to members; and the Association became ever more active in other national library and higher education data gathering efforts.

The Association's statistics and descriptive data about research libraries have been used both for comparative purposes and also to track the trends of investment in research libraries for the better part of the 20th century ARL has also sought to look for more than descriptive data. In the early 1980s, the Statistics Committee began to look for ways to objectively measure organizational performance and began to collect supplementary statistical data that provided information on a variety of measures including those that address access to information resources.[25]

New Measures

In 1999, the ARL Statistics and Leadership Committees and other interested member leaders began what has become the ARL New Measures Initiative. The initiative is an effort to address the need to develop methods to measure how well libraries meet institutional and user needs, and how well libraries use their resources and services. One area of interest is how to measure user expectations and perceptions of library services. The 1999–2000 LibQUAL+™ pilot project tackled these questions. In 2000, ARL and Texas A&M were awarded a grant by the U.S. Department of Education Fund for the Improvement of Postsecondary Education (FIPSE) to continue development work on the LibQUAL+™ protocol for three years. The goals of the project include the development of tools and protocols for evaluating library service quality, development of effective Web-based delivery mechanisms for those tools, identification of best practices in providing library service, and the establishment of an ongoing, cost-recovery, service quality assessment program at ARL. Forty-three university libraries from across the U.S. and Canada participated in the spring 2001 survey implementation and a total of 20,416 surveys were completed. The spring 2002 LibQUAL+™ survey was completed by more than 78,000 people at 164 libraries.

An outgrowth of the LibQUAL+™ project is the development of a National Science Digital Library (NSDL) user-based assessment protocol. This new project, a collaborative proposal from the Texas A&M University Libraries and ARL, was approved for funding in November 2001 by the National Science Foundation (NSF). Under the grant, ARL and Texas A&M will jointly receive funding over a three-year period to adapt the LibQUAL+™ instrument for use in the science, math, engineering, and technology education digital library community.

Another area of interest is how to measure the collection and use of electronic resources. The ARL E-Metrics project developed and tested selected statistics and performance measures to describe electronic services and resources in ARL libraries; engaged in a collaborative effort with selected database vendors to establish an ongoing means to produce selected descriptive statistics on database use, users, and services; and developed a proposal

for external funding to maintain the development and refinement of networked statistics and performance measures. In 2002, E-Metrics project participants will further develop and test the proposed measures on electronic networked services and resources.

The goal of the Higher Education Outcomes Research Review Project is to investigate strategies for assessing the library's value to the community and to explore the library's impact on learning, teaching, and research. The Learning Outcomes Working Group, established to promote the project objectives, is working to (a) identify assessment expertise on campuses (these can be people who are involved in the accreditation process at the institution level and/or departmental/professional level); (b) work with national campus-wide surveys to identify which ARL institutions have participated in these efforts; and (c) work with the Standardized Assessment of Information Literacy Skills (SAILS) research team at Kent State University for further development of an instrument to measure information literacy skills.

RESEARCH AND DEVELOPMENT

Many of ARL's projects and programs could not have been accomplished without grant or contract support. The Association is particularly indebted to the National Science Foundation, the National Endowment for the Humanities, The Andrew W. Mellon Foundation, the Council on Library and Information Resources, The Gladys Krieble Delmas Foundation, The H. W. Wilson Foundation, the Institute of Museum and Library Services, and the Fund for the Improvement of Post Secondary Education. Many of the early grant-funded projects focused on bibliographic control or preservation activities, while later projects supported technology, copyright education, data gathering and statistics, and most recently scholarly communication. The grants allow ARL to extend its reach by providing funds to pursue developmental or other special activities that can not readily be absorbed by ARL's annual program budgets. ARL also has a Visiting Program Officer (VPO) program that allows staff from member libraries an opportunity to work with ARL on issues of interest to their home institution

and to the ARL membership. The VPO program provides a very visible staff development opportunity for an outstanding staff member and serves the membership as a whole by extending the capacity of ARL to undertake additional activities.

MEMBERSHIP AND GOVERNANCE

ARL membership is invitational and has always been exclusively on an institutional basis. The membership stayed relatively stable for the first 25 years, growing from 42 in 1932 to only 55 by 1957. At that time, it became apparent that the demographics of higher education had changed during the decade following World War II, and the number of institutions with research institutes and graduate programs had increased enormously. In 1962, when a secretariat was established in Washington, D.C., 20 libraries were invited to join, and over the next 26 years, 48 more libraries were added. ARL established quantitative criteria for membership in 1972 and modified the criteria in 1987.

After many years of handling membership issues through the Board and ad hoc task forces, ARL established a standing committee for membership in 1999. An impetus for the establishment of the committee was an ARL Board task force recommendation to increase the emphasis on qualitative and service measures in future considerations of potential new member libraries. The agenda for the committee's first meetings in 2000 included the development of a set of principles and tenets for ARL membership, which were subsequently approved by the ARL Board; the review and revision on qualifications and procedures for membership; responding to membership application requests; and the development of procedures to review current members that no longer meet the membership criteria.[26]

Most of the 124 current members are academic libraries, the remainder are the national libraries of the United States and Canada, along with several public and special libraries with substantial, broad-based research collections.[27] The Board of Directors is the governing and policymaking body for the Association. Each year, three directors from member libraries are elected by the membership to serve on the 12-member board for three-year terms. The

Board elects a vice president/president elect from among its members. The Executive Committee (president, vice president/president elect, and past president) annually appoints member directors to serve on standing committees, working groups, and advisory boards which oversee issues relating to current priorities.

The current standing committees are Access to Information Resources Committee, Diversity Committee, Information Policies Committee, Membership Committee, Preservation of Research Library Materials Committee, Research Collections Committee, Research Library Leadership and Management Committee, Scholarly Communication Committee, and Statistics and Measurement Committee. The working groups and advisory boards are OLMS Advisory Group, Working Group on Copyright Issues, Working Group on Portal Applications, Collections and Access Issues Task Force, Special Collections Task Force, SPARC Steering Committee, and CNI Steering Committee. In 2002, the Board decided to replace the Copyright Issues Working Group with a new standing committee on Intellectual Property and Copyright. This new committee will be established in 2003.

MEETINGS, COMMUNICATIONS, AND PUBLICATIONS

The primary forum for communication among members is the semi-annual Membership Meeting. On these occasions, the directors or deans of the member libraries gather to focus on a small number of issues that are of importance to North American research libraries. The programs and discussions at these meetings, formal and informal, have demonstrated themselves to be exceptionally valuable opportunities to establish and strengthen communications among member leaders.

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 online.

In between Membership Meetings, the Association communicates regularly with members and with the larger communities of higher education and libraries through a variety of channels,[28] including electronic and print publications.[29]

MORE INFORMATION ON THE HISTORY OF ARL
An engaging overview of the Association's first 60 years is "Plus ça Change: Sixty Years of the Association of Research Libraries," originally a speech by David H. Stam. It may be found elsewhere in this compilation and also online. A more detailed history is Frank M. McGowan's doctoral dissertation, *The Association of Research Libraries 1932–62* (University of Pittsburgh, 1972).

ENDNOTES

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Plus ça Change…
Sixty Years of the
Association of Research Libraries

by David H. Stam, Syracuse University

What follows is an engaging overview of the Association's first 60 years, originally a speech by David H. Stam, at the Association's 121st Membership Meeting, October 22, 1992.

IN honor of our British colleagues here tonight, I would like to begin with a morality tale well-known in historical circles. The facts aren't quite right, but the story as told to me many years ago by Prof. Max Savelle, an eminent American historian from the University of Washington, concerned the first meeting of the American Historical Association to be held in the midwest, far from the eastern establishment that had dominated that association for fifty years. At a cocktail party at the University of Wisconsin meeting in the mid-1930s, shortly after ARL was organized, Harvard historian Samuel Eliot Morison chatted with Wisconsin historian Merle Curti about their work. Morison, who was tall and imposing, looked down on Curti, who though an intellectual giant was short of stature, and asked, "How far east do you have to go to get to a good library?" Curti took no time to reply, "The British Museum"!

That story may or may not tell us anything about the state of research libraries in this country when our Association was founded in 1932, but it does evoke an image of a changing bibliothecal map that has been filled in and redrawn constantly in the intervening period. It also provides a current lesson in humility, and not the last, for however much we may forget that we stand on the shoulders of giants, it was lives of struggle which brought us to where we are today. My theme tonight is that continuity between the early history of the Association and what we struggle with now, laced I hope with some of the humor that helped our early predecessors to cope.

As part of a committee charged with planning for this Diamond Jubilee, I agreed to do some historical sleuthing through the ARL Archives of the early years of the Association, now at the Library of Congress, in preparation for this talk. This too was a lesson in humility, for my time in Washington was limited and the archives are extensive: forty-four manuscript containers through 1962 comprising over 11,000 items, with additions of ca. 5000 and ca. 50,000 items in 1968 and 1979. Please note the precise statistics. Since it took me about a day to browse through a single manuscript box, cope with LC's new and admirably stringent rules of use, renew my photocopy vendacard in the Law Library, balance the ease of photocopying against the time waiting for a free machine, etc., I hope you'll be tolerant of the fragmentary nature of what follows. Helping to synthesize what I did find, however, were the succinct minutes of the early meetings, and a fine dissertation by Frank McGowan on the early history of the Association, which I am pleased to acknowledge as a work which belongs in each of our libraries.

What strikes one most in going through some of this material is the similarity of past and present

agendas. Apart from changing social issues such as gender and race, the same issues recur constantly. The forms of technology have changed, but the search for technologies to aid research libraries was certainly present. So were the topics of cooperation, serials, statistics, relationships to other organizations, membership criteria, resource sharing, serials, bibliographical control, preservation, copyright, access to public information, serial price increases, and mirabile dictu, even dues. This afternoon we discussed a modest dues increase of 15%, so you can imagine the outcry in 1938 when they were raised by 100% from $5 to $10, or again in 1944 when they increased to $25 to help defray the editorial costs of Doctoral Dissertations. That increase was duly protested by Dartmouth College and McGill, Princeton, and Kansas Universities. By 1962 dues had reached $200. The percentage increase in dues since 1932 as of today has now reached just under 240,000%, or an average annual increase of 4000%. On the brighter side, we should note that members in earlier days had to pay separately for their annual dinners. The December 28, 1934, dinner at the Cosmos Club here in Washington was $1.25 exclusive of drinks. The 1951 meeting at the University of Chicago cost $10.50 for two nights in the dormitory and two days' meals, topped in value, I suspect, the following year at the University of Iowa: "The University is reserving 50 beds in Hillcrest Dormitory at $2.00 per individual per night…. Two beds to a room, pair off when you come in…. The Hotel Jefferson can be endured if you do not wish to stay with the group in the dormitory."

By now you will have guessed that it was only men who were, in the memorable title by Julian Moynihan, "Pairing Off" in Iowa City and at the Cosmos Club. The early correspondence in the archives is filled with the discourse of men about men. With the exception of two acting librarians from the midwest, all of the member representatives were men. The two acting librarians were Effie A. Keefe, Acting Librarian of Northwestern University from 1941 to 1944, and Grace von Warner, Acting Librarian of the State University of Iowa who, if McGowan's biographical note is to be trusted, served as acting librarian from 1922 to 1924, 1927 to 1930,

and from 1932 to 1943, surely some kind of record in long-suffering devotion.

Staff folklore at headquarters tells the story of Virginia Whitney, our first female president, introducing a resolution at a membership meeting in the late 1960s calling for the use of name badges, "because, frankly gentlemen, you all look alike to me." For all the continuity we see in the development of this Association, gender is fortunately an area in which the language of discourse has changed.

What could possibly substitute for this female absence but booze. Bill Dix once recalled the abundance of Heaven Hill bourbon at his early meetings of the Association. A bit later, in 1951, the prospect of a meeting at the University of Minnesota's Center for Continuation Study, where liquor sales were banned within a mile of the campus, caused a quiet panic for Executive Secretary Charles David of the University of Pennsylvania: "What are the rules about any liquor? Is there a place near by where it is available, or is there any rule about a moderate amount of it being brought into the Center? I imagine we have some members who would find it a little difficult to go through with such a party for two days without any alcoholic facilities whatever."

Reading the files fills one with sympathy for the Association staff in the amount of detail its daily mail had to cope with: menus for annual dinners, representation at ceremonial events, various protocols, inappropriate inquiries about membership ("Would the Rosicrucian Research Library be eligible for membership in the Association of Research Libraries?"), complaints about dues, the cyclical navel-gazing about the organization, the periodical lists of periodical price increases, such things as the April 1951 request for member's names and addresses from the "Miss a Meal Movement" in New Delhi, as endorsed by Mahatma Gandhi. Executive Secretary Charles David graciously responded on June 6: "I have read your letter of April 7th with interest and deep sympathy, but since the Association for Research Libraries is an exclusively scientific organization and does not in any way exist for charitable purposes, I feel it would not be proper

for me to give you a list of our membership." Scientific perhaps, but I should note that the catalog entry at LC for the ARL Archives describes the association as "literary-cultural." Donald Gilchrist, Librarian of the University of Rochester, was our first Executive Secretary, elected in absentia as so many were, in January of 1933. He too had some problems about describing just what we are, especially in responding to probing questions from a Columbia University Press official and from a library student at George Washington University. In some of the more entertaining correspondence in the files, Gilchrist tried to respond to two different requests for the definition of a research library. To the first he replied on May 13, 1937, "I am very much at a loss to define the word 'research', particularly when applied in descriptive terms to libraries. I disclaim all responsibility for interpreting it as a part of the title of the association which I happen to be serving at present as secretary."

Donald Porter Geddes of the Columbia Press was scarcely satisfied and replied to Gilchrist the next day: "I must admit that I had a premonition of the sort of answer I would get…. Scholars and scholarly publishers seem to talk very glibly of research libraries. I have even been guilty myself of saying that there were fifty in the country. Where I got the idea, I can't say. But when I saw that there was an Association of Research Libraries, I was quick to make inquiry…. I should add that Mr. Howson [the Librarian at Columbia] has always discouraged us from thinking that there was such a thing as a research library. At least, he has said that he is unable to tell us what it is. Nevertheless, our curiosity still consumes us, and we think that the information which you have might enable us to whittle down our definition a little better."

Gilchrist made a more leisurely response on the 19th: "My private opinion is there's no such thing as a research library;… If you will compare the definitions of the word 'research' in Murray's 'Oxford Dictionary' and Webster's 'New International', you can even make out a case for your own office reference shelf as a research collection. It's a pretty threadbare word in American education. As far as our Association is concerned, it includes the

membership of the Association of American Universities, possibly a half dozen other large university and public libraries offering wide and rich facilities to scholars. This couldn't be said of all members of the Association of American Universities…. I'm happy to enclose a list of the membership; and wish you luck in your pursuit of the research library."

That was not the end of the issue for Gilchrist; after the end of his tenure as Executive Secretary in 1938, he received the following letter, dated March 29, 1939, from Wallace A. Jones of Washington, D.C.: "Dear Mr. Gilchrist: In connection with my work at George Washington University, one of the professors has asked me to obtain a definition of a 'Research Library.' It will be appreciated if some member of your staff can furnish me with the desired definition."

March 31, 1939, Gilchrist to Jones: "Probably nothing which the Association of Research Libraries has ever done in its six years of existence has aroused so many queries as the name which it selected. I don't know what a research library is; I don't even know how to define the word 'research'. It seems to be one of those words in the process of modification through practice. I hear it used by my son who does research (so he says) in a number of different fields for his first year in junior high school. Certainly, everybody in college does research, and the faculty do Research [with a capital R].

"Personally and confidentially, I think the selection of that term for the association which comprises some forty-odd large university and public libraries was a little unfortunate and certainly not crisply definitive. The title has been a source of embarrassment ever since it was chosen. Perhaps someday someone will think of a better word for the association's official title.

"…Have I answered your question?"

March 31, 1939, Gilchrist to Keyes Metcalf, recently elected Executive Secretary, with enclosures of the preceding exchange: "Metcalf: For your information and amusement. D.B. Gilchrist."

April 15, 1939, Wallace Jones to Gilchrist: "Your letter of March 29, 1939…has been received. I regret to admit that I am still confused as to just what a

Research Library is. Will you please give me a concise definition of just what one is, and also tell how to distinguish between a Research Library and any other library. I regret to bother you again with this matter, but as I explained, it is in connection with one of my studies in Library Science at George Washington University, and I have been requested to secure the information."

April 19, 1939, Gilchrist to Jones: "Dear Mr. Jones: You have me back against the ropes and gasping for breath. I am forwarding your letter of the fifteenth to Mr. Metcalf, the present secretary of the Association of Research Libraries, and the director of the Harvard University Libraries, in the hope that perhaps he will have the courage to give you a crisp definition."

April 19, 1939, Gilchrist to Metcalf, with enclosures: "Metcalf: I've told him all I know on the subject, suppose you try. Don."

April 26, 1939, Metcalf to Jones: "My dear Mr Jones: Donald B. Gilchrist, Librarian of the University of Rochester, has turned over to me copies of his correspondence with you dealing with the definition of a research library. I referred the matter to Dr Andrew D. Osborn, a member of our library staff at Harvard, who is interested in library terminology. Here is a copy of his report, which I am glad to pass on to you for such use as you see fit. It cannot be considered an official definition prepared by the Harvard College Library." Attached were five pages of manuscript notes, starting with a referral to the editor of the dictionary of library terminology (Miss L.R. Reed, University of North Carolina Library), continuing with an admission that American library terminology is vague, and ending with a comparison to the German concept of the "wissenschaftliche Bibliothek." By now Jones too was presumably on the ropes, for the correspondence stops at this point, though the issue is hardly dead and there are still some today who believe the Association is misnamed. "Perhaps someday someone will think of a better word for the association's title."

The author of those last words was also tired. In January of 1938, Gilchrist had transferred the files to Metcalf at Harvard, saying that his job as Executive

Secretary had been "much fun and satisfaction…. The Advisory Committee and the membership have been most cooperative, and apparently loyal." Gilchrist died suddenly later in 1939 to the great sorrow of his fellow members.

In January 1962, the Association revised its By-Laws in preparation for its major expansion from 49 to 72 member institutions, an interesting period in our development which splits the history of the Association into two neat thirty-year periods. There isn't time to explore that NSF supported development which incidentally brought Syracuse University into the fold and gives me eligibility for this talk. The revised By-Laws offered a new description if not a definition: "Major university libraries are considered to be those whose parent institutions emphasize research and graduate instruction at the doctoral level, and which support large, comprehensive collections of library materials on a permanent basis." (see McGowan, Appendix B, p. 197). Given the now clearly recognized impermanence of our collections and the nearly ubiquitous current emphasis on undergraduate instruction and the student as ultimate consumer, there may be a question here of how many of us still would qualify by that definition. I want to return to that question later, but here I would just note that for all the deficiencies of the 1962 definition, it was a step up from the more coy description of 1932: "Membership shall consist of the libraries which have united in founding this association."

There is an overabundance of materials in the files concerning serial price increases. It was an issue suggested for the first meeting on December 29, 1932, and has been sporadically all-consuming, often depending on unfavorable currency exchange rates. Although there were no apparent complaints about currency exchange windfalls, the reverse was often true.

In March of 1933, Secretary Gilchrist complained that the situation was so serious that Rochester had already had to cancel four Springer titles in the previous two years. Later that year an ARL memo noted the resolution passed by the Medical Library Association in June: "That no library subscribe to any periodicals which do not have a fixed annual

subscription price for the entire annual output of volumes or parts. That such price be stated in advance, and also the number and parts to be issued per year…. Unless definite word comes to that effect MLA recommends cancellation except for one library in each of 6 to 10 zones throughout America." Does any of this sound familiar? Did Donald Koepp plagiarize his remarks at our Charleston meeting? By 1934 the price issue was further compounded by the dismissal of many German professors which members felt would lead to a decline in the quality of German scientific scholarship and the need to review subscription lists for further cancellations.

H.W. Wilson's service-base pricing policy and the phenomenon of differential pricing for institutions and individuals were related issues. Particularly galling was the 1951 increase of Chemical Abstracts from $20 to $60 for institutional subscriptions, while the individual subscription price remained at $15. Early that year Executive Secretary David wrote to Ralph Shaw of what is now called the National Agricultural Library: "The longer I consider the problem of the new price of Chemical Abstracts, the more I am tempted to turn rebel and order it on an individual subscription. It seems to me that when I was with you last you made out a pretty good case for this, but I just can't remember what it was. Please repeat." Shaw's response was one of unequivocal equivocation: "…each one of us has a free choice in the method we will use…. My judgment, therefore, would be that you should let your conscience be your guide, and, if I were in your position, my conscience wouldn't be strained unduly by having a member subscribe to the publication for the library."

But I must desist from this periodical obsession and move on to two other concluding topics. Probably the most difficult issue facing our founders was the question of affiliation with or independence from existing library organizations, particularly the American Library Association. While there seems to have been general agreement that the new organization could only help toward the demise of the American Library Institute (a kind of library club about which I've learned little apart from its reputation for ponderous pomposity). On the other

hand, opinion about the American Library Association was sharply divided between those who wanted nothing to do with ALA, wishing to follow the unaffiliated stance of the Special Libraries Association, and those who were positive about ALA or at the very least wanted to do nothing to offend that organization.

In late 1931, prospective members had been canvassed through a circular memo seeking ideas and agenda topics for the first meeting, and addressing the issue of affiliation. The results were neatly summarized in a five-page memorandum in February 1932 from University of Illinois Librarian Phineas L. Windsor to Harold L. Leupp, Librarian of the University of California at Berkeley. Again, I can't resist giving you a few examples of the substance and tone of the debate:

Windsor to Leupp, Feb. 11, 1932: "Two or three referred to the A.L.I., and hope that it can be revamped in some way to fill our needs. Eight or ten more people will have to die before that can possibly be done…. The A.L.I. is about the biggest disappointment that professional libraries have to put up with." Windsor did prefer affiliation with ALA, as did librarians from Yale, Michigan, Duke, Washington, New York Public Library, and the Newberry Library, all of whom were against independence from ALA. John French of Johns Hopkins favored an entirely independent organization or one affiliated with ALA, but suggested it be called the "Association of Learned Libraries" (ALL), a name that at least would have created a truly comprehensive acronym. Stanford wanted an Association of University Libraries, but that suggestion got nowhere since it excluded a number of major reference libraries, as they were then called. Otto Kinkeldey of Cornell University, speaking for independence, wrote that "My own impression of the College and Reference Section meetings of the A.L.A. is not so favorable as to lead me to hope that a good research libraries organization can be developed from this stock." Alfred Potter of Harvard University suggested that "we avail ourselves of the American Library Institute, perhaps changing its scope a little," definitely a minority opinion. Most trenchant on

the subject was the December 23, 1931, letter of Harold Leupp of Berkeley to James Thayer Gerould at Princeton: "I am wholly out of sympathy with present tendencies in the A.L.A., where the Headquarters tail has come to wag the Association dog, partly through its control of a large—too large—share of Andrew Carnegie's money. I think that a professional association…should stand for something more than ballyhoo of the Chamber of Commerce type. If its name is to be associated in the public mind wholly with the loud speaker and the dollar sign, to the exclusion of everything of a scholarly kind, some other organization will have to make good the deficiency. At present I can see little hope that the Association will do anything for scholarship, since the element in control seems to have no idea what the word means. This conviction is not altered by the Association's allowing its name to be used on the title-page of the Union List of Serials, to which it contributed nothing else, or by its sending out a few million mimeographed letters soliciting subscriptions to the new edition of the British Museum catalogue. In these cases as in every other case I know of in which a genuine service to scholarship might have been rendered by the Association, its contribution has been practically nothing, but it has managed afterwards to claim credit for the product. This sort of thing makes me pretty qualified tired, and I should think that you and Lydenberg and the others who have done the work would feel infinitely more so." The letter goes on, but I won't.

In the end, diplomatic counsels prevailed, and we did start out with a formal affiliation with ALA, usually meeting in conjunction with ALA meetings. I have not discovered when that practice ceased. It was still going in 1947 when a scheduling conflict emerged. When ARL suggested the Sunday afternoon of June 29th for its San Francisco meeting that year, Carl Milam, with inadvertent anticipation of changing terminology, wrote from ALA that "It appears likely…that the California Library Association will give a gay cocktail party on that afternoon," and the meeting was rescheduled. ALA dues for affiliate members in the 1940s was ".10c per capita for all members of your Association not

members of ALA." In 1942 the only members of ARL who were not also members of ALA were Johns Hopkins, Catholic, and North Carolina universities, and the Engineering Society Library. Executive Secretary Paul North Rice of the New York Public Library duly sent a check for .40c, saying he was tempted to send .80c to cover 1943 as well.

After all of this light-hearted frivolity, you must indulge me in at least one serious point, reflected in what I consider to be one of the sadder episodes in our history. At the Spring 1950 meeting a proposal was presented from the American Literature Group of the Modern Language Association, asking ARL to work with them, the Bibliographical Society of America, and the American Council of Learned Societies, to encourage living American authors to deposit their manuscripts in libraries. Harry Miller Lydenberg of NYPL strongly advocated the project, but librarians from some of the other larger libraries including Harvard, Yale, and UCLA resisted, arguing that such manuscript collecting was an "institutional, individual, even personal job not subject to cooperation." On May 10, 1950, Charles David conveyed their rejection to the plan's proponent, Professor Harry Warfel, stating that the Association was disinclined to participate in such a cooperative effort: "So you can see the only result was to arouse latent jealousies that exist between one institution and another, and make it quite apparent that this kind of cooperation so far as the principal research institutions is concerned seems hardly a practicality. I feel ashamed, but I do not see that there is much that can be done about it."

I do not present this story to excoriate the uncooperative but to suggest that our biggest failure has been in the area that most distinguishes research libraries. To a very large extent our statistics measure the products of research, not the raw materials of research, the primary resources which make research, particularly in the humanities and the social sciences, possible. As we move inexorably toward greater electronic access for more and more of the standard secondary literature, primarily in the English language, supporting "plain vanilla" research in more ways than one, and diverting more and more of our resources from what was previously

our mission, the computer will represent the great leveller among libraries, making the materials accessible through it equally available among the great and the puny. But it will be the massive undigested collections of primary resources, the types of materials which I've tried to exploit in preparing this talk, collections unlikely in my view to reach electronic formats, that will distinguish research libraries from all those other libraries with or without walls. We ignore those other resources at a peril to scholarship and to ourselves.

What you've heard tonight are some fragments of my research into such a resource. One related success that I've not mentioned is the Association's important role in the development of NUCMC, the National Union Catalog of Manuscript Collections, which did much to make primary resources widely known. Couldn't we now mount an effort to put the contents of that remarkable but unwieldy catalog into machine readable form? What better way for ARL's centennial historian to find the ARL Archives?

But there is so much more, from the Farmington Plan to the conversion of the National Register of Microfilm Masters, from the Union List of Serials to the Commission on Preservation and Access, from the Library of Congress Printed Catalog and PL 480 to the Coalition for Networked Information, developments in which the Association has played important roles, that we are more than justified in some self-congratulation after sixty years. So I end with a toast, the fruit of some earlier research I once did in dozens of ARL and British libraries, attempting to reconstruct the personal library of Leigh Hunt, the prolific English author, whose father incidentally held degrees from two of our charter members, Penn and Columbia. During my quest I found a beautiful volume in the Beinecke Library at Yale, a translation of Ugo Foscolo's Essays on Petrarch (London, 1823), which had once been owned by Hunt. In one of the essays, Foscolo quotes Petrarch's description of a servant who waited on Petrarch in Vaucluse: "He knew not how to read, yet he was also the guardian of my library. With anxious eye he watched over my most rare and ancient copies, which, by long use, he could distinguish from those that were more modern, or of which I myself

was the author. Whenever I consigned a volume to his custody, he was transported with joy; he pressed it to his bosom with signs; with great reverence he repeated the author's name; and seemed as if he had received an accession of learning and happiness from the sight and touch of a book." At the bottom of the page, in his inimitable hand, Hunt added this note: "The memory of this good man ought to be drunk at the anniversaries of the Bibliomaniacs."

In that spirit, I give you The Association of Research Libraries, and the lovers of books, libraries, and learning everywhere.

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Note: A more detailed history is Frank M. McGowan's doctoral dissertation, *The Association of Research Libraries 1932–62* (University of Pittsburgh, 1972).

Selected ARL Chronology

1932   ARL founded with 42 charter members

1933   First volume of *Doctoral Dissertations Accepted by American Universities* compiled by ARL and published by H. W. Wilson (predecessor of *Dissertation Abstracts)*

1942   Library of Congress catalog first appears in book form as *A Catalog of Books Represented by LC Printed Cards,* sponsored by ARL

1946   *British Museum Catalogue of Printed Books, 1881–1900 (Prospectus)* published, sponsored by ARL

1948   Farmington Plan began under ARL auspices *(Farmington Plan Newsletter* and its successor, *ARL Foreign Acquisitions Newsletter,* published from 1948–79)

       ARL Committee on Research Libraries works with LC to discuss cooperative cataloging, expanded card distribution, and other services (ultimately led to the NUC and the Documents Expediting Project)

       Newspapers on Microfilm, prepared by LC and issued by ARL

1956   Foreign Newspaper Microfilm Project initiated by ARL, an outgrowth of the first cooperative microfilm project established at Harvard University in 1937

1961   *PL-480 of 1954, "Sale of surplus agricultural commodities," amended to authorize Library of Congress use of foreign currencies for cooperative acquisitions program

1962   ARL secretariat established in Washington, DC, funded by a grant from the National Science Foundation

       National Union Catalog of Manuscript Collections begins publication

1963   ARL assumes responsibility for publishing university library statistics based on data variables established by James Gerould (Minnesota and Princeton) between 1908 and 1962

       ARL's 63 university library members report total holdings of 88.6 million volumes and total library expenditures of $79 million

1964   *Library Services and Construction Act passed

1965   *Higher Education Act of 1965, Title II passed, authorizing funds for the acquisition and cataloging of research materials at LC

       ARL Newsletter first published

1966   Annual ARL salary survey data collection begins

       *National Serials Data Program initiated

       National Program for Acquisitions and Cataloging (NPAC) begins (funded under Higher Education Act of 1965; initiated by ARL; managed by LC)

1967   ARL Automation Committee works with the Library of Congress to develop MARC pilot project

       Brittle Book Project study in collaboration with ARL, the Library of Congress, and the Council on Library Resources

1968   ARL Center for Chinese Research Materials established (became separate organization in 1986)

       ARL Microform Technology Project launched, funded by the Office of Education

1969   National Serials Pilot Project initiated, which led to the National Serials Data Program undertaken by the U.S. national libraries

       ARL Slavic Bibliographic and Documentation Center established (continued until 1972)

1970   *Problems in University Library Management* published

       ARL Office of University Library Management Studies established (now Office of Leadership and Management Services [OLMS])

1973   *Organization and Staffing of the Libraries of Columbia University* published under sponsorship of ARL in cooperation with the

American Council on Education; leads to development of the Management Review and Analysis Program

Systems and Procedures Exchange Center (SPEC) initiated by OLMS

1974   ARL publishes *Access to Periodical Resources: A National Plan* with National Science Foundation funding (plans for a national periodicals center)

ARL Annual Salary Survey first published

1975   ARL fall meeting focuses on "The Library of Congress as the National Bibliographic Center"

1976   *Copyright Revision Act passed, to be effective January 1978

*Higher Education Act of 1976 passed, authorizing Title II-C, "Strengthening Research Library Resources"

First OLMS Management Training Institute held

1979   Standards for University Libraries issued, prepared by ARL and the Association of College and Research Libraries

1980   ARL adopts new criteria for membership and an Index comprising 10 variables determined by factor analysis

1981   ARL Microform Project initiated (moved to OCLC as the Major Microforms Project)

1982   Preservation Planning Program developed at ARL with support from the National Endowment for the Humanities

All ARL university library members report at least one million volumes in holdings for the first time

1983   CONSER A&I Project, operated by ARL with National Federation of Abstracting & Indexing Services, to enhance bibliographic records of serials

North American Collections Inventory Project (NCIP) begun in cooperation with the Research Libraries Group

Total combined library expenditures for ARL libraries tops $1 billion

1984   ARL Microform Clearinghouse established (later operated by OCLC)

1985   "Plan for a North American Program for Coordinated Retrospective Conversion" launched

1986   Commission on Preservation and Access established by the Council on Library Resources in response to recommendation from ARL

1987   *National Register of Microform Masters* retrospective conversion project begun in conjunction with the Library of Congress (contracted through OCLC), with major funding from the National Endowment for the Humanities and The Andrew W. Mellon Foundation

ARL adopts "Statement on Unlimited Use and Exchange of Bibliographic Data"

ARL adopts mission and values statements, program objectives, and financial principles to guide the ARL leadership

1988   "Principles on Government Information in Electronic Format" issued

ARL receives major grant from National Endowment for the Humanities for preservation activities

ARL Serials Prices Project initiated

1989   ARL sponsors ten-year assessment of Title II-C of the Higher Education Act

ARL Board creates Designated Reserve Fund to provide financial stability to the Association and generate revenue to support Board-designated projects

ARL Preservation Statistics first published

1990   Coalition for Networked Information established by ARL, EDUCOM, and CAUSE

ARL establishes Office of Scientific and Academic Publishing (name and mission changed in 1995 to Office of Scholarly Communication) and Office of Research and Development

Number of participants attending OLMS training programs passes 10,000 mark

*Permanent Paper Resolution enacted by Congress and signed by the President

OLMS launches Cultural Diversity Project

First ARL Certificate of Distinguished Achievement presented to Henry Barschall, University of Wisconsin, for his work in analyzing the cost-effectiveness of scientific journals

Retrospective machine-readable ARL Statistics introduced

ARL Newsletter evolves into the *ARL Bimonthly Report*

New ARL logo and unified corporate identity created by Kevin Osborn, Research & Design, Ltd.

1991 ARL libraries report almost 370 million volumes in holdings, 3.5 million current serials received, and almost $2 billion in total expenditures

Senator Claiborne Pell (D-RI) and Warren J. Haas, CLR, each receive an ARL Certificate of Distinguished Achievement in recognition of their support for research library issues

The Andrew W. Mellon Foundation funds ARL Foreign Acquisitions Project

*High Performance Computing Act establishes a National Research & Education Network

CNI brings up a network fileserver on the Internet that provides e-mail for ARL and CNI staff; association information available via FTP and Gopher

First edition of OSAP *Directory of Electronic Journals, Newsletters, and Academic Discussion Lists* published (final edition published in 2000)

1992 National Endowment for the Humanities awards major grant for completion of *National Register of Microform Masters* project

ARL Geographic Information Systems Literacy Project initiated

*Higher Education Act Amendments of 1992 enacted, a five-year reauthorization with increased funding levels and new provisions for electronic networking initiatives

Access Services program established

ARL/RLG Interlibrary Loan Cost Study survey collects cost information for borrowing and lending operations to provide benchmark data and a management decision-making tool

ARL Academic Law and Medical Library Statistics first published

University Libraries and Scholarly Communication, a Mellon study of the economics of research libraries, is published by ARL

1993 ARL moves to 21 Dupont Circle

Congressman Vic Fazio (D-CA) receives ARL Certificate of Distinguished Achievement in

recognition of his support for research libraries and higher education

1994 ARL Diversity Program established

North American Interlibrary Loan and Document Delivery (NAILDD) Project initiated

Electronic Services Coordinator hired; develops ARL Gopher server

Statistics data-gathering activity moves in-house; full-time Program Officer for Statistics and Measurement hired

University of Virginia Social Science Data Center hosts interactive ARL statistics Web site

Developing Indicators for Academic Library Performance: Ratios from the ARL Statistics first published (last edition published in 1999)

ARL Statistics reports that the unit cost of serials doubled between 1986 and 1993

82 university libraries report spending over $14 million on electronic resources—3.6% of the library materials budget

E-News for ARL Directors, an e-mail newsletter, first distributed

1995 Shared Legal Capability formed by ARL, ALA, AALL, MLA, and SLA to ensure a unified library community voice on copyright and intellectual property law and policy in the digital environment

AAU/ARL Global Resources Program initiated; funded by The Andrew W. Mellon Foundation

First Directors Forum on Managing ILL/DD Operations held (final forum held 2001)

1996 Federal Relations Program Officer registers as a U.S. Congress lobbyist

Career Resources Online Service, a job posting database, initiated

1997 Leadership and Career Development Program launched

Stanley Katz, President of ACLS, receives ARL Certificate of Distinguished Achievement in recognition of his leadership in shaping the future of scholarly communication

NRMM retrospective conversion project completed; more than 579,000 online records were created

1998   Scholarly Publishing and Academic Resources Coalition (SPARC) established

*Digital Millennium Copyright Act and Sony Bono Copyright Term Extension Act passed

Results of the ILL/DD Performance Measures Study published

OSC collaborates with AAU on Pew Higher Education Roundtable on Managing Intellectual Property; "To Publish and Perish" published

ARL Gopher server retired; 3000+ documents moved to a World Wide Web server

1999   Online Lyceum established by OLMS and Southern Illinois University Carbondale

New Measures Initiative established

K. Wayne Smith, CEO of OCLC, receives ARL Certificate of Distinguished Achievement in recognition of his leadership in improving access to information

Carol Henderson, ALA Washington Office, receives ARL Certificate of Distinguished Achievement in recognition of her commitment to libraries throughout the U.S.

2000   FIPSE and Texas A&M provide support for LibQUAL+™ project

E-Metrics Project initiated

The internal report on expenditures for electronic resources, *ARL Supplementary Statistics*, made publicly available

Second Pew Higher Education Roundtable results in "Principles for Emerging Systems of Scholarly Publishing"

OSC launches the Create Change campaign to help faculty transform the system of scholarly communication

The Initiative to Recruit a Diverse Workforce awards first four stipends to MLS students of color

2001   SPARC and a group of European library organizations agree to establish SPARC Europe

NAILDD Project milestone reached when five library system vendors exchange ISO ILL Protocol messages at IFLA conference

Designated Reserve Fund passes $900,000 mark

ARL Statistics reports that between 1986 and 2000 expenditures for serials tripled while acquisitions declined steadily

2002   Scholars Portal Project initiated

"Responsibilities of Research Libraries for Preservation" adopted

SPARC Europe formally launched under the auspices of LIBER; director hired and office opened in Oxford

SPARC releases "The Case for Institutional Repositories: A SPARC Position Paper"

ARL develops five-year action plan to promote open access to quality information in support of learning and scholarship

National Science Digital Library LibQUAL+™ project initiated; funded by NSF

106 university libraries report spending more than $130 million on electronic resources— 16% of the library materials budget

* projects or legislation not part of ARL itself but in some way sponsored by ARL or influenced by the strong support and collaboration of ARL staff or committees

Members and Leaders

ARL Charter Members

1932   Brown University
University of California, Berkeley
Catholic University of America *
University of Chicago
University of Cincinnati
Clark University *
Columbia University
Cornell University
Dartmouth College
Duke University
Harvard University
Henry E. Huntington Library and Art Gallery *
University of Illinois, Urbana
Indiana University
University of Iowa
Iowa State University
John Crerar Library +
Johns Hopkins University
University of Kansas
Library of Congress
McGill University
Massachusetts Institute of Technology
University of Michigan
University of Minnesota
University of Missouri
University of Nebraska
New York Public Library
Newberry Library *
University of North Carolina
Northwestern University
Ohio State University
University of Pennsylvania
Princeton University
University of Rochester
Stanford University
University of Texas
University of Toronto
University of Virginia
Washington University (St. Louis)
University of Washington
University of Wisconsin
Yale University

*No longer a member of ARL
+Merged with the University of Chicago Library in 1984

Growth of ARL Membership

1933   Boston Public Library

1936   New York University

1937   University of California, Los Angeles

1938   Louisiana State University

1946   University of Colorado
Vanderbilt University
    (Joint University Libraries)

1948   National Library of Medicine
    (Army Medical Library)
National Agricultural Library
    (U.S.Department of
    Agriculture Library)

1952   University of Kentucky

1956   University of Florida
Michigan State University
Purdue University
Rutgers University

1962   Boston University
Center for Research Libraries
    (Midwest Inter-Library Center)
University of Connecticut
Florida State University
Georgetown University
University of Maryland
University of Notre Dame
University of Oklahoma
Oklahoma State University
University of Oregon
Pennsylvania State University
University of Pittsburgh
University of Southern California
Syracuse University
Temple University
University of Tennessee
Texas A&M University
University of Utah
Washington State University
Wayne State University

1963	Saint Louis University*
1964	Linda Hall Library *
1967	University of Alabama
	University of Arizona
	University of British Columbia
	University of Georgia
	Southern Illinois University
	State University of New York at Buffalo
	Tulane University
1969	University of Alberta
	Case Western Reserve University
	University of California, Davis
	University of Massachusetts
	New York State Library
1971	Howard University
	National Library of Canada
	Rice University
	Smithsonian Institution
1973	Arizona State University
	University of California, San Diego
	University of California, Santa Barbara
1974	Brigham Young University
	Kent State University
1975	Colorado State University
	Emory University
	University of Houston
	University of South Carolina
	State University of New York at Albany
	State University of New York at Stony Brook
1976	University of Hawaii
	McMaster University
	University of Miami
	Queen's University
	Virginia Polytechnic Institute & State University
	University of Western Ontario
1979	University of California, Riverside
	University of Guelph
	University of New Mexico
	York University

1980	University of Saskatchewan
1981	University of California, Irvine
	University of Manitoba
1982	Canada Institute for Scientific & Technical Information
1983	University of Delaware
	Georgia Institute of Technology
	North Carolina State University
1984	University of Waterloo
1985	Université Laval
1988	University of Illinois, Chicago
1992	Auburn University
1996	Ohio University
1997	Texas Tech University
1998	George Washington University
2000	Boston College
2001	Université de Montréal
2002	University of Louisville

*No longer a member of ARL

ARL OFFICERS, 1932 AND 2002

1932

Executive Secretary: **Donald B. Gilchrist**
University of Rochester

Advisory Committee: **J. Christian Bay**
John Crerar Library

James T. Gerould
Princeton University

Harold L. Leupp
University of California,
Berkeley

Charles C. Williamson
Columbia University

Phineas L. Windsor
University of Illinois, Urbana

2002

President: **Paula T. Kaufman**
University of Illinois, Urbana

Vice President/
President-elect: **Fred M. Heath**
Texas A&M

Past President: **Shirley K. Baker**
Washington University,
St. Louis

Board of Directors: **Nancy L. Baker**
University of Iowa

Joseph J. Branin
Ohio State University

Frances Groen
McGill University

Sarah Michalak
University of Utah

Paul H. Mosher
University of Pennsylvania

Brian E.C. Schottlaender
University of California,
San Diego

Sarah E. Thomas
Cornell University

Ann J. Wolpert
Massachusetts Institute of
Technology

ARL LEADERSHIP, 1932–2002

From 1932 to 1962, the Association of Research Libraries was governed by an Executive Secretary and an Advisory Committee, both elected by the membership. When the ARL secretariat was established in 1962, a full-time Executive Secretary was appointed and the Advisory Committee was replaced a Board of Directors, including three officers (Chairman, Vice Chairman, and Past Chairman). In 1967, the titles were changed to Executive Director and President.

ARL EXECUTIVE SECRETARIES, 1932–1962

1932–37	**Donald B. Gilchrist** University of Rochester
1938–41	**Keyes D. Metcalf** Harvard University
1942–46	**Paul N. Rice** New York Public Library
1947–51	**Charles W. David** University of Pennsylvania
1952–56	**Robert A. Miller** Indiana University
1957–59	**William S. Dix** Princeton University
1960–62	**Stephen A. McCarthy** Cornell University

ARL EXECUTIVE DIRECTORS, 1963–2002

1963–67	**James E. Skipper**
1967	**Donald F. Cameron**
1968–74	**Stephen A. McCarthy**
1975–76	**John P. McDonald**
1977–79	**John G. Lorenz**
1980–81	**Ralph E. McCoy**
1981–87	**Shirley Echelman**
1988–	**Duane E. Webster**

ARL Presidents, 1962–2002

1962–63	**William S. Dix** Princeton University		1984	**Eldred Smith** University of Minnesota
1963	**Robert Vosper** University of California, Los Angeles		1985	**Richard J. Talbot** University of Massachusetts
1964	**Richard H. Logsdon** Columbia University		1986	**Anne Woodsworth** University of Pittsburgh
1965	**Edward G. Freehafer** New York Public Library		1987	**Herbert F. Johnson** Emory University
1966	**Foster E. Mohrhardt** National Agricultural Library		1988	**Elaine Sloan** Indiana University
1967	**Rutherford D. Rogers** Stanford University		1989	**Charles E. Miller** Florida State University
1968	**Andrew J. Eaton** Washington University		1990	**Martin Runkle** University of Chicago
1969	**Douglas W. Bryant** Harvard University		1991	**Marilyn D. Sharrow** University of California, Davis
1970	**Warren J. Haas** Columbia University		1992	**Arthur Curley** Boston Public Library
1971	**Thomas R. Buckman** Northwestern University		1993	**Susan Nutter** North Carolina State University
1971–72	**John P. McDonald** University of Connecticut		1994	**John Black** University of Guelph
1973	**William S. Budington** John Crerar Library		1995	**Jerry Campbell** Duke University
1974	**Ralph H. Hopp** University of Minnesota		1996	**Nancy Cline** Pennsylvania State University
1975	**Richard De Gennaro** University of Pennsylvania		1997	**Gloria Werner** University of California, Los Angeles
1976	**Virginia P. Whitney** Rutgers University		1998	**James G. Neal** Johns Hopkins University
1977	**Edward C. Lathem** Dartmouth College		1999	**Betty G. Bengtson** University of Washington
1978	**Ray W. Frantz** University of Virginia		2000	**Kenneth Frazier** University of Wisconsin
1979	**Le Moyne Anderson** Colorado State University		2001	**Shirley K. Baker** Washington University in St. Louis
1980	**Connie Dunlap** Duke University		2002	**Paula T. Kaufman** University of Illinois, Urbana- Champaign
1981	**Jay K. Lucker** Massachusetts Institute of Technology			
1982	**Millicent D. Abell** University of California, San Diego			
1983	**James F. Govan** University of North Carolina			