

SEEING THE FUTURE WORK: NEW GUIDING PRINCIPLES FOR LIBRARIANS AND LIBRARIES

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ABSTRACT: The ARL has developed Three Keystone Principles to guide libraries to become “the...intellectual crossroad, the hub of the knowledge network.” These principles cover the most important and pressing issues for libraries today. These include scholarly and government information availability, the creation of information systems and the dissemination and preservation of information and knowledge, and finally, the role of the library as the intellectual commons where the community meets to create and share new knowledge. This presentation will discuss these principles and the role librarians play in meeting the challenge of creating the library of the future.

I am very pleased to be here. This is a wonderful setting for your conference. This is an unusual conference for me. I am generally asked to speak to academic librarians interested in library instruction, diversity, or library organizational issues. You are all very focused on content and service to a specialized customer base. You have highly distinctive knowledge and I am intrigued by some of your sessions. I clearly have not worked in specialized research or science environments and you might ask what we have in common. It is my belief, however, that as librarians we do share a common philosophical base and value system that transcends our specialties and work places.

I believe we all share new realities and are being buffeted by the shift to an information based global economy. I believe that we all have to be concerned about the directions of the profession as we face the rapid changes unlikely to abate in the foreseeable future. Recruitment, library education, continual learning, and the values that drive our work and professional decisions are foremost among these. We also have a stake in the values that will underlie the new information technologies and systems of the 21st Century. So, it is this set of issues that we will explore today.

If I had given this presentation a year ago, my comments would have been somewhat different. I have had a variety of experiences this past year that have given me many new insights and high hopes for our profession. I served as acting director of the University of Arizona School of Information Resources and Library Sciences, participated in the Keystone Conference and in the AAU/ARL session which developed the Principles for Emerging Systems of Scholarly Publishing. My work on these last two projects created new activist measures for our profession and moved forward the SPARC (Scholarly

Publishing and Academic Resources Coalition) agenda. This confirmed my belief that we can make a difference when we work collaboratively in the public interest.

I am optimist. I know we can significantly address the new challenges these endeavors identify. In fact, we are already beginning to address some of them. I hope that by focussing on this, I can give you some new ideas and stimulate you to think about how you and this organization can help ensure that librarians are key players in the Information Age.

In the library profession today, we are facing the need for a paradigm shift if we are to make the fundamental changes required to control our own future. The core issue is our ability and determination to compete in a new information environment. It has been said: "He who controls the playing field, controls the rules." So far, libraries and librarians have not been major players in the development of the networked environment. In our libraries we have been content to be at the end of the learning and the knowledge creation processes. In fact, the CIO of Cornell University, William Aims, recently predicted that reference and many library services would be replaced by automated systems developed outside of the library. We are in a defensive position in the new information playing field, especially in regard to Internet developments where the rules for participation are rapidly and continually changing.

We are constantly responding to someone else's agendas rather than effectively developing agendas of our own. Being responsive to the needs of our customers, maintaining the fundamental values of access, equity, privacy and fair use of information frame what librarianship is all about. To successfully compete in this new environment we must behave according to these immutable ideals. We must leverage our resources, redirect our priorities, and our individual efforts. We must collaborate with librarian colleagues and others involved in the knowledge creation/management processes. We must take risks, reinventing our work and our organizations. We must seize the moral high ground and capitalize on our good relationships with our scholars--the creators of new knowledge. Traditional "library" principles and values must form the foundation and rules of the new information playing field. In effect, we must all become activists, seize the initiative, and gain control over the "rules" which are now in the hands of others.

An example of the kind of action I am talking about is contained in the Keystone Principles. In November 1999, eighty academic librarians endorsed three principles and twenty-two action items rooted in our values. The intent is that these principles should guide our individual decisions and collective actions, and that they should provide the framework for dialogues with future partners and competitors. Subsequently, the Keystone Principles were endorsed by the Association for College and Research Libraries and are now being debated by the Association for Research Libraries.

I present them to you today to challenge your thinking and future actions. As you will note from my paper, the document is idealistic. But it is ever so realistic in presenting the kinds of actions we must undertake if we are to ensure that the information structures and

systems of the 21st Century represent the best of the 20th Century. The action items build on what some of us are currently doing and encourage us to do better than we are, currently, to continue to be successful. They also call upon us to recognize that libraries can no longer go it alone, whether in creating new access tools or fighting for users' rights in electronic information environment. They call for the kind of collaboration that Betsy Wilson (2000) so eloquently describes in her article, **The Lone Ranger Is Dead:** *"Colleges and universities are changing, responding to their public responsibilities and relationships. Collaborations and partnerships engage colleges and universities with the community in solving ever larger and more complex problems that no one institution can solve on their own."*

The Keystone Principles give us a new starting point for collective action, bringing coherence and legitimization to many of the activities we have already begun. So what are the Keystone Principles?

The principles, with their rationales, follow:

- Principle One: Scholarly and government information is a public good. Government information is a "public good" and must be available free of marketing bias, commercial motives, and cost to the individual user.

"Scholarly and government information is created at the expense of public and/or academic institutions. Therefore, there is a public interest in the availability of this information. Yet some commercial interests have disrupted availability through unreasonable pricing policies, restrictive licensing practices, and legislative assaults on the traditional American copyright balance between the rights of the individual creator and the public interest as embodied in the concept of educational fair use. The right to read and know without cost is threatened. Further, in the online environment, commercial access services are distorting search results for profit without defining how these results are obtained and organized. Individuals are receiving biased information without any way to recognize or identify the source of the bias."

- Principle Two: Libraries are responsible for creating innovative information systems for the dissemination and preservation of information and new knowledge regardless of format.

"At the same time as the technological and economic environments of higher education have changed, academic institutions are being forced to look for ways to create and disseminate knowledge in support of the learning and research programs that are more affordable and sustainable over the long term. To date, these systems have been created largely outside academe and most certainly outside libraries. Thus, they exist without the benefit of the expertise gained by librarians in how information is used and the academic and societal values librarians bring to the enterprise. As new access and storage systems are developed, it is important that the knowledge and values which surround the

traditional academic library be incorporated and systems be developed which restore affordability, provide access for, and embody the values of the educational community.”

- Principle Three: The academic library is the intellectual commons for the community where people and ideas interact in both the real and virtual environments to expand learning and facilitate the creation of new knowledge.

“Institutions of higher education are actively seeking ways to assess and improve the quality of learning and research programs. There is increasing public demand for demonstrating value-added outcomes for the dollars invested. Technology is seen as a potential enabler but most campuses lack the human and fiscal resources to make radical changes and to provide the necessary infrastructure for large-scale programs. There is fear among the faculty and many administrators that education will be dehumanized by the introduction of the new technologies in the learning program. A leadership vacuum exists. The academic cache of the “library as heart of the print university” must become “the library as intellectual crossroad, the hub of the knowledge network.” (AAU/ARL, October 2000)

The action items for each of these principles present examples of how the principles can be achieved. They are not exhaustive, nor are they prescriptive.

Action Items for Principle One:

1. Libraries will direct resources to mobilize the academic community to adopt Principle One and act in accordance with its spirit.
2. Libraries will direct resources and establish coalitions to create local, state and national legislation consistent with Principle One.
3. Libraries will direct resources to create outlets for academic institutions, government agencies, and scholarly societies for their information products that are operated by policies consistent with Principle One.
4. Libraries will support academic institutions, government agencies, and scholarly societies that maintain outlets that operate consistently with Principle One.
5. Libraries will make purchasing decisions and licensing agreements that embrace the concepts embodied in Principle One.
6. Libraries will create only those software and hardware products that embrace concepts espoused in Principle One.
7. Libraries will support aggressively colleague institutions or colleagues in institutions that challenge unfair licensing and copyright restrictions.
8. Libraries will direct resources to implement this Principle by:
 - establishing true collaborative resource development programs;
 - establishing buying consortia; and
 - partnering with other libraries, publishers, societies, faculty groups, etc. to create a more competitive information environment, thereby reducing the cost of commercial information.

Actions for Principle Two:

1. Libraries will direct resources from traditional library budgets to create a digital publishing capability and new access systems.
2. Libraries will direct resources to create new access systems free of bias and ulterior motive and based on customer information seeking patterns.
3. Libraries will partner with faculty, other libraries, and/or other entities to quickly identify, create, manage, and disseminate new digital content critical to learning and research programs of their institutions.
4. Libraries will create interoperability in the systems they develop and create open source software for the access, dissemination, and management of information.
5. Libraries will accept responsibility for campus "information" management as an extension of their role.
6. Libraries will foster the development of systems that ensure long-term access to scholarly knowledge.
7. Libraries will develop new measures of quality and educate the campus, accrediting agencies, and profession to the need for these new measures.
8. Libraries will develop assessment techniques and identify outcome measures that help streamline and redirect resources for these activities.

Actions for Principle Three:

1. Libraries will direct librarian activities to establishing partnerships with faculty in the design of the learning activities of the institution.
2. Libraries will direct new and existing resources to create real and virtual environments to support research and learning activities, e.g. electronic reserves, online content, access tools, etc.
3. Libraries will create spaces where people and ideas can interact regardless of format or location.
4. Libraries will direct resources and create partnerships that ensure 24 x 7 availability of expertise in support of student and faculty research needs.
5. Through their own efforts and in collaborative endeavors, libraries will create new learning materials and web based instructional packages to teach users the skills needed for successful information searches.
6. Libraries will create new measures that demonstrate the value-added contributions of the library to the learning and research programs." (AAU/ARL, October 2000)

There are a number of ventures already in progress that reinforce some of these principles. Obviously, the creation of SPARC (Scholarly Publishing and Academic Resource Coalition) is a major step forward. With over two hundred libraries contributing, SPARC has implemented projects which support Principles One and Two. While still protecting authors' rights, SPARC is helping to reduce the cost of information and improving the speed of knowledge dissemination. Columbia University's **Earthscape** project, the American Chemical Society's, **Organic Letters**, and Michael

Rosenzweig's **Evolutionary Ecology Research** are examples of new scholarly publications challenging traditional pricing through SPARC partnerships.

"Create Change" and "Take Back Scholarship" are two educational programs designed by SPARC to make all members of the academic community knowledgeable about the issues and stakes in the new environment. These are collaborations that we can all participate in and leverage our resources to create a new future.

An important document for advancing the Keystone agenda is the "Principles for Emerging Systems of Scholarly Publishing" issued by ARL and AAU for the purpose of stimulating discussion on values on campuses across the country. The nine points are as follows:

1. The cost to the academy of published research should be contained so that access to relevant research publications for faculty and students can be maintained and even expanded.
2. Electronic capabilities should be used, among other things, to provide access to scholarship, to encourage interdisciplinary research, and to enhance interoperability and searchability. Development of common standards will be particularly important in the electronic environment.
3. Scholarly publications must be archived in a secure manner so as to remain permanently available and, in the case of electronic works, a permanent identifier for citation and linking should be provided.
4. The system of scholarly publication must continue to include processes for evaluating the quality of scholarly work and every publication should provide the reader with information about evaluation the work has undergone.
5. The academic community embraces the concepts of copyright and fair use and seeks a balance in the interest of owners and users in the digital environment.
6. Universities, colleges, and especially their faculties should manage copyright and its limitations and exceptions in a manner that assures the faculty access to and use of their own published works in their research and teaching.
7. In negotiating publishing agreements, faculty should assign the rights to their work in a manner that promotes the ready use of their work and choose journals that support the goal of making scholarly publications available at reasonable cost.
8. The time from submission to publication should be reduced in a manner consistent with the requirements for quality control.
9. To assure quality and reduce proliferation of publications, the evaluation of faculty should place a greater emphasis on quality of publications and a reduced emphasis on quantity.

Partnerships which are promoting Principle Two include the California Digital Library, the American Memory Project, HighWire, Project Muse, and AGNIC, a coalition of libraries making agricultural information available to the general public as well as the research community. These projects acknowledge libraries as creators of knowledge as

well as access, and provide examples of the impact we can make in other venues when we work together.

On the licensing front, several coalitions are working on developing model licensing agreements. Their goal is to protect fair use and traditional library access. At the same time, coalitions of library associations—ARL, SLA, ASIS, ALA—are providing materials and support for fighting commercial efforts to pass UCITA in the fifty states. Clearly, UCITA would endanger fair use and access. These same coalitions are continuing to fight for user rights in regard to data base legislation in the United States and the world trade arena. Sharing our legal capability is another demonstration of the affect of our pooled financial and human resources.

In the service arena, the Library of Congress is piloting a 24/7 reference service with forty other major libraries. Other experiments are being proposed using chat rooms, live interactive communication utilities, call center management software, etc. to provide “real time” reference. A “Scholar’s Portal” is being explored within ARL to provide expanded access to the collections and other resources available through academic libraries outside the academy.

Supporting all of the Keystone Principles is the ARL “new measures” program. It currently has five pilot projects underway to develop new ways of measuring the value added by libraries, rather than looking at inputs or outputs. The projects involve:

- designing library learning and research outcome measures
- measuring user expectations and satisfaction through an adapted SERQUAL instrument
- study to determine how to develop statistics and performance measures that address the delivery of networked information resources and services.
- producing measures that provide benchmarks for determining the effective use of resources and,
- measuring document delivery effectiveness.

While there is a lot going on, however, we still have much work to do. To implement the spirit of the Keystone Principles we need diverse, flexible staff grounded in the traditional library values of equity of access, information as a public good, privacy as a right, intellectual freedom and social responsibility. We need people who can take leadership roles in information creation and advocacy. This means we must build coalitions with our library schools to help them develop educational programs that meet our needs. Rather than criticize, we need to provide them with adequate human and fiscal resources, and partner with them to provide field and research experiences for students.

We also need to raise our beginning salaries and create salary structures that attract the best and the brightest among our undergraduate populations. We must structure our library priorities and budgets to provide staff development activities to ensure that our current employees are continually learning and growing. And we must make their positions and work places attractive to a generation raised on constant change and instant

gratification. We must embrace the radical changes that will result from implementing the Keystone and Emerging Principles rather than shrink from the changes that they demand.

Most importantly, we need to question everything we do and make decisions about resource allocation based on research, data, and serious reflection, not just because it is the “way we have always done things.” We must build a culture of assessment within our organizations and develop a focus on measuring outcomes and evaluating programs on the basis of “value-added” and relevancy to the user. We must value user self-sufficiency, prepare them to be self-sufficient, and ultimately strive for full user empowerment, where our intervention is less necessary. This means we have to value building systems that are easy to use, and that support user independence.

So, what can you do and how can this organization help to ensure that core library values like information as a public good and equity of access endure into the 21st Century? First of all, you can review documents like the Keystone Principles and Principles for Emerging Systems for Scholarly publishing. Develop your own principles using these as a guide or endorse these and bring them to the attention of scholars and administrators in your organizations. Engage in the core values and core competency discussions going on in ALA, MLA, SLA and AALL. Make your voice heard. Make daily decisions consciously based on values rather than drifting into expediency or the “comfortable.” Join with other library groups to make sure that legislators and the public-at-large understands the importance of the information debates now going on, and how these issues will affect them.

Finally, as you undertake your work, keep the following ten axioms developed by Jerry Campbell in mind:

- Evolve/change your core business or risk future viability
- No moral rights are implicit in the old division of labor
- New windows of opportunity will open
- New windows of opportunity will be short lived
- Sure bets will be hard to recognize
- Your instincts are your best guide, trust yourself
- Dare to take risks: action cannot wait for painstaking discussion
- No player exercises master control
- Whoever acts will create the future
- Imagine the future you want and make it real

Being in this profession at this time excites me. I am proud to be a librarian, and I applaud you, my colleagues, as we create the future.

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