A Quarterly Report from ARL, CNI, and SPARC

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Ahead of the Storm: Research Libraries and the Future of the Research University

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Editor’s note: Below is the lightly edited text of a speech delivered by Heather Munroe-Blum on May 5, 2011, at the 158th ARL Membership Meeting in Montréal, Québec. The meeting was jointly convened with the Canadian Association of Research Libraries.

Books were incredibly important for me growing up. They were my escape—my safe harbor. And this is because, as a child, I was blessed with supportive librarians who fed my insatiable appetite for reading. But in the presence of this multitude of distinguished university librarians, I have a confession to make: at one point, my family had so many books overdue from the local public library that the entire family was blacklisted until we gathered up our massive collection of overdue books, and, hanging our heads in shame, all seven of us carried the books back to the library. Penitent sinners that we were, we threw ourselves on the mercy of the chief librarian, who bade us to rise, to begin our new, cleansed and more “book responsible” lives. The woman was a saint.

From my very earliest experiences, I saw libraries as portals to new worlds, with librarians opening the doors to the hidden treasures of the imagination. Even today I feel a tingle of excitement when I walk into a library, and my favorite gift to give someone is to give in their name, on a special occasion, a book restoration from our wonderful rare book collection. From a university perspective, libraries are, and always have been, at the heart of our mission. When I came to McGill, one of my first projects, with our provost, was to
reinvest in our libraries, which had suffered during a prior decade of forced cutbacks. Over the past five years we have devoted an additional $1 million per year to our libraries, and protected our library investments in the wake of future economic challenges. This—along with a dedicated and outstanding team of librarians, a student-elected annual contribution of $400,000, and several other important gifts from alumni—has allowed us to dramatically increase our collections, refurbish many of our facilities, expand our opening hours, and increase our volume and quality of services. I am happy to report that McGill’s library, and our campus technology services, have both scored top marks in the *Globe and Mail*’s annual Canadian University Report, for several years running, based on student surveys.

Colleagues, I know you have all spent the past two days grappling with the tough questions that face research libraries in this age of declining print and exploding electronic information. This age when elections and revolutions are waged with the weapon of social media, when global disasters are documented by “citizen journalists” carrying cell phones, and when the amount of data circulating around the globe has recently necessitated the coining of a new term—the “exabyte,” that is, a billion gigabytes—in an attempt to harness and describe this dizzying acceleration of digital information.

And you stand in that breach—in this second decade of this new millennium—accepting as you do the extraordinary mission of redesigning the image and function of the research university library. You already know—better than anyone—that libraries, and particularly research libraries, are crucial in managing and evaluating this accelerating revolution in how information affects and shapes how we think, how we learn, and how we communicate. Where you, our librarians, and libraries go, research universities will follow. Just as, in my youth, libraries and librarians opened the door to new worlds of possibility, and offered me a chance to step in, so too are our research libraries now opening the door for many of the innovations and adaptations that higher education must embrace in its continuing evolution.

In my job, I also think a lot about the research university, and have had the privilege, and obligation, of trying to visualize where research universities are
headed. From my perspective, let me take a few minutes to scan the broader landscape that is driving change, not only in our universities, but in our societies.

Competitiveness in the Global Information Age

The global information age has accelerated the pace of change around the world and is now in the process of reconfiguring economies and re-drawing long-established maps of influence. To think that any institution—or any nation—could coast through these changes unaltered would be naive. The so-called industrialized world is experiencing tectonic shifts with justifiable trepidation. And research universities are vulnerable in their preeminent role as keepers, developers, and disseminators of knowledge.

You may be familiar with the report published in 2005 by the US National Academies called Rising above the Gathering Storm. The report made recommendations on how to face some of the substantial challenges to American economic competitiveness. This report was revisited by members of the original committee in 2010—and this time they added an ominous subtitle: Rapidly Approaching Category 5. To illustrate the looming threat, they included startling facts about the position of the US relative to other countries, particularly the emerging economies of Asia. For example:

- In 2009, 51 percent of United States patents were awarded to non-United States companies.
- When MIT put its course materials on the worldwide web, over half of the users were outside the United States.
- In a survey of global firms planning to build new R&D facilities, 77 percent say they will build in China or India.
- United States consumers spend significantly more on potato chips than the government devotes to energy R&D.
- Potato chips.
- Potato chips.

These facts are symptomatic of a broader trend—one that holds true on both sides of the US-Canada border. Our countries are at risk of falling behind in the innovation race. In part, this is because we are not investing enough in R&D spending as a percentage of GDP. At the same time, in China, Singapore, Korea, and elsewhere, R&D spending as a percentage of GDP grew dramatically.
And while innovation depends in part on R&D (and design), education is at its core. The US, with its legendary “gold standard” system of higher education, now sits below the Organisation for Economic Co-operation and Development (OECD) average for the rate of university graduation. So does Canada. And the trend over time is even more worrisome. University graduation rates in both Canada and the US have barely budged in recent years, while the OECD average graduation rate for universities nearly doubled from 1995 to 2007. Finland soared from 20 percent to 48 percent. Switzerland rose from 9 percent to 31 percent. Countries with emerging economies are also seeing the results of massive investments in higher education. In China, the number of people graduating from universities and specialized colleges has more than quadrupled since 2000. And the so-called BRICS countries—Brazil, Russia, India, China, and South Africa—tripled their production of scientific articles in the decade between 1996 and 2007. As of 2006, Brazil, Russia, India, and China—four countries—awarded half the number of doctorates awarded in all 30 OECD countries combined.

Perhaps, it should come as no surprise then, that the US, the dominant economic power in the world throughout our lifetime, recently lost ground in prominent rankings of the world’s top economies. In the IMD 2010 World Competitiveness Yearbook rankings, the US fell from number one in 2009 to number three in 2010 (behind Singapore and Hong Kong); in the World Economic Forum’s Global Competitiveness Report, the US dipped from first to second position in 2009 and dropped to fourth in 2010 (behind Switzerland, Sweden, and Singapore). These statistics stand in dramatic contrast with the focus being placed on education today. In the United States, with its current economic climate, some states are implementing cuts of up to 50% in funding to public universities. It is hard to imagine even holding steady, much less making progress, in this context. While funding for post-secondary education is either declining or not increasing, health care spending is massive and growing.

Indeed, in both of our countries health care spending—not health promotion or improved health care delivery, but health care spending—has replaced education as the dominant focus of politicians and policy makers. With our universities under siege, it is easy to imagine a future in which our children may be less educated than their parents—clearly not the direction we need to be heading in the global information age. Perhaps it is our pride as nations that will reverse these directions, but they will more likely be reversed by the unceasing, articulate, and determined effort of every one of us with clear vision to influence
our nations’ policymakers about the reality of how the future of the information age will be won.

And while our institutions will not come through this crisis unscathed, I remain fundamentally optimistic about the role of our research universities in moving our nations, our societies, forward. For centuries, American and Canadian universities have been leaders in supporting societal progress and adaptation. Now, as countries struggle to recover their footing after the economic crisis, universities are once again called upon to serve as both models and drivers of change.

And, while we are inventing new ways to adapt to our rapidly changing surroundings, to make our tangible contributions to the knowledge society—locally and globally—more powerful and more visible, we must also protect the less measurable—but equally important—role for the development, expression, and communication of ideas.

**Evolving Characteristics of Research Libraries**

I was honored last summer to be appointed to a US National Research Council Committee studying American research universities that will be reporting in to Congress this summer. The mandate of this committee is to identify actions to help American research universities maintain their excellence in the 21st century.12 Serving on this committee has provided me with a unique perspective on the ways that research universities are evolving, and can and must evolve further, in response to their changing environment. Though every institution is different, I believe that our research universities will continue to play the fundamental role they do, to the extent that they are **entrepreneurial, connected, and balanced**.

Let’s start with **entrepreneurial**. “Entrepreneurship” and even “innovation” are words that can sit uncomfortably with academics, especially when we are under intense pressure by government and society to quantify the value of our contributions. Universities are not the private sector, nor should they be. But innovation and entrepreneurship can dwell together, effectively, at the heart of modern academic life. What drives us, after all, but our commitment to new ideas, and to figuring out how to use these ideas to make the world a better place? The era of the isolated ivory tower, if it ever existed, is long gone. Societies look—
and should look—to their universities to solve pressing problems.

Last year two academics at one of my alma maters, the University of North Carolina at Chapel Hill (UNC-CH), Holden Thorp (now also UNC-CH President) and Buck Goldstein, published a book challenging universities to be more entrepreneurial. In this book, *Engines of Innovation*, the authors note that innovation begins with a problem and that entrepreneurs, broadly speaking, are people who identify new problems and crystallize the benefits of solving them. Entrepreneurs in the arts and in business see problems as concrete opportunities, and so do entrepreneurs across our universities.

Entrepreneurship in this context includes the transfer and application of the knowledge and technology that flow from university research. But it does not stop there. It means bringing the energy and expertise of universities to bear on problems that matter to people—whether that means creating and evaluating a more effective biomedical device, or sharing advice with policymakers in societies transitioning to democracy, or helping communities devise sustainable solutions to nutrition problems.

Those of you from land-grant universities will be familiar with this idea as “extension”—the expectation that knowledge flows freely into and out of the university in an ongoing dialogue with “the people of the state.” Universities are now being called upon to demonstrate our value to the various constituencies that we serve. And, there is danger in defining this value too narrowly—in dollars and cents, in only those things that can be measured concretely, in real time.

Some of the greatest contributions made by universities have their roots in abstract, curiosity-driven scholarship, research, and learning. We must preserve our fundamental academic freedoms, and, at the same time, be entrepreneurial. Universities are and should be embracing both abstract and solutions-based approaches: in the research questions we ask, in the outreach projects we undertake, and in the ways in which we educate and prepare our students—and one another—in order to engage with the future.

The second evolving characteristic of research universities—**connectedness**—is closely linked with the first. If an entrepreneurial approach is one goal, then building connection, partnerships and coalitions, both within and beyond our campuses is a major means of reaching that goal.

To solve problems, you need to know what those problems are, and to do that, you need to be connected with the people and organizations who “live” them. Both around the world, and in our own communities, the problems we
face are complex: peace building, disaster response, global health in an era of highly transmissible diseases, both obesity and starvation, increasing access to education...the list goes on.

Entrepreneurial universities confront these challenges, and they do so by building linkages across sectors and across borders—with governments, private sector, NGOs, and communities. In our globalized world, one of the most important roles of universities is and will be forging international connections. Contemporary research and scholarly collaborations, such as the one that mapped the human genome, often require a scale so massive, so daring, and requiring such a wide range of expertise, that it would be impossible for any single institution, organization, or industry to assemble the necessary talent and infrastructure to tackle these on their own. To succeed in the 21st century, countries, institutions, and companies need to tap into and contribute to international knowledge networks. What better way to do this than through our universities? Increasingly, the universities that flourish are the ones that actively embrace this role and make it a priority.

Connection is not something that only occurs outside the university gates, however. It begins within the university, by narrowing the boundaries that divide disciplines. One of the hallmarks of research-intensive universities is not only the array of disciplines found within them, but the depth of knowledge in each discipline. It will remain important to deepen knowledge within individual fields, but real-world problems do not fall into tidy disciplinary categories. And as universities sharpen their focus on solving those problems, they are naturally adopting more interdisciplinary approaches to research and learning.

Cross-disciplinary collaboration is often fortuitous, the result of a particularly fruitful relationship, or a chance meeting of the right people at the right time. But there is a great deal that universities can do to provide fertile ground for this inherently unpredictable process:

- making space for interdisciplinary research and projects—which have long suffered the stigma of being on the “fringes” of traditional disciplines;
- providing seed-funding streams that reward interdisciplinary projects;
- having quality resources that publish their interdisciplinary results; and
- creating tenure and promotion processes that recognize the value of high-quality interdisciplinary collaborations.

The universities that flourish have seen progress in all of these areas.
Best practices are shifting as universities “make space” for important interdisciplinary research and learning. And our libraries are key in all of this. The universities that flourish will look much less like a loose collection of separate disciplines, each with its own floor or building, and much more like an integrated collection of creative “hubs”—workshops where students and professors and librarians are engaged in cross-cutting techniques, where scholarly teams of people from diverse disciplinary backgrounds cross paths, organically forming teams that work to understand and solve the next challenge.

The final characteristic of successful research universities is **balance**. By this I imagine universities that consciously strive to harmonize their multiple roles in an increasingly fast-paced, results-driven world. Both entrepreneurship and connectedness are outward-focused. Both can increase the positive, external impact of universities. But, universities must also be places of contemplation and reflection. This always has been, and will continue to be, a central role of the library. Our species creates and accumulates knowledge, and our university librarians are curators of knowledge, preserving the record of human scholarship and discovery, across time, making this record available to new knowledge seekers.

I certainly do not have any simple recommendations regarding how universities can best balance the push and pull of being connected and entrepreneurial while protecting room for contemplation and curiosity, nor do I have any special vision regarding the particular role of librarians and libraries in that regard. That is for you to determine. And I must admit that some recent events—like the United Kingdom’s decision last year to slash humanities funding for universities while preserving funds for science and engineering—trouble me greatly.13

It will always be harder to demonstrate the immediate monetary value of humanities, and social sciences, and basic rather than applied research. But those endeavors are crucial. There is no human progress without understanding humanity. There is no social progress without understanding what happens when we come together. And I assure you, every marketable technological innovation has its roots in a discovery that arose from “pure” research, and, every application, in the understanding of human development and endeavor.

Too many questions are set up as dichotomies that should not be. Should
universities prepare students for careers, or should they be grounded in a broad intellectual framework? Both! Doesn’t it make sense for today’s engineer to have exposure to sociology and international relations? Shouldn’t every humanities major know what a genome is? To succeed over the course of their lives, our students will need broad, cross-cutting skills, ease in working across cultures, more than one language, and the ability to continue learning forever.

**Looking Toward the Future**

The industrial age is over. The workplaces our students and new professors are entering will morph and change more quickly than at any time in history. Developing flexible, porous, fluid chambers of knowledge that our graduates can apply to an ever-changing workplace is very different from “training” a worker to do one thing for 50 years. Fortunately, we have three factors on our side:

- one—the human brain, whose very design is flexible, porous, and fluid in its capacities;
- two—the university research library, whose multi-dimensional intellectual architecture is as close a representation as we will ever get to humanity’s collective intellect; and
- three—you, our librarians who shape and steward these extraordinary resources and connect others to them.

I will close with some of the conclusions that emanate from the policy work I have been involved with, in the North American and international contexts, conclusions emanating from benchmarking the postsecondary, research and innovation policies of our two countries against those in Europe and the emerging economy countries.

I will leave it to you to determine the extent to which you, as leaders of our university libraries, currently engage in these practices or not, and whether it makes sense for you to do so.

1. Understand the mission, distinctive strengths, and vulnerabilities of your organization and the programs you lead within them.
2. Develop goals and targets to build on and sustain these distinctive strengths and to overcome or reshape vulnerabilities.
3. Benchmark your progress and strategies against peers: locally, nationally, and internationally. Increasingly, to have an impact locally, to forge a distinctive contribution and reputation, depends on national and international profile, relevance, and quality.

4. Understand, value, and develop your talent. There is no substitute.

5. Network to create shared value, to gain knowledge and experience.

6. Don’t play it safe. This fosters mediocrity, which, in a competitive environment, leads to decay. Leave plenty of room to take risks.

I would like to close simply by thanking each of you. You, our librarians, truly lead the way in grappling with the extraordinary pace and nature of strategic opportunities that all of our universities now face. This revolution we are living through is all about information, and through whatever self-determined or entirely random way you come to it, information, and information management, is your domain, and, our temple.

Out there, on the front lines of the information revolution, you lead. I thank you for the work you do, for the doors you have opened and the paths you have charted, and are charting—both on behalf of the institutions you serve, and, for the countless knowledge-hungry minds who have the great good fortune to walk into your world.


3. Ibid.


5. Ibid.


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Collecting Small Data

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Introduction

In recent years, our professional literature has devoted many pages to the need for data services in support of e-science.1 Naturally, most of these publications focus on the development of support services that enhance our ability to meet the needs of scientists and other individuals who collect and analyze large data sets, or “big data.” For example, ARL’s recent publication E-Science and Data Support Services: A Study of ARL Member Institutions sought to document the various approaches that member institutions employ when providing data-support services for the e-sciences.2 In discussing these needs, much of the focus—both locally and in the literature—tends to center on addressing the issues that arise when institutions contemplate providing support for computational, team, and networked sciences. Yet, as noted in E-Science and Data Support Services, what we call big data only represents one part of the significant challenge that research libraries face in meeting changing data needs in our respective scholarly communities.3 The acquisition and management of small data present particular challenges that require exploration as our institutions evolve to meet changing user needs. (“Small” refers both to the size of the data set and the cost of acquiring and managing the data when compared to data sets like the human genome or 100 years of weather observations.)

Locally, this growing interest in managing data is part of a broader interest in exploring new options for acquiring resources that will meet the changing needs of our faculty and student communities. Positive developments (such as
improved mechanisms for sharing holdings and a better understanding of the level of use expected of our physical holdings) and negative developments (such as diminishing numbers of librarians and tighter budgets) have converged and encouraged critical examinations of long-standing practices. Throw in the broader expectations of subject specialists for scholarly communications and user engagement so ably outlined by the University of Minnesota, Duke University, and others, and one finds a fertile environment—both locally and across our profession—for exploring new roles.4 In this environment, our community sees a renewed interest in cooperative collection development models, demand-driven acquisitions, and consortial acquisitions, as well as a desire to explore different models for facilitating our librarians’ engagement with the scholarly communities that they serve.

It is in this environment that the University of Illinois at Urbana-Champaign explored the challenges of acquiring and delivering small data for faculty and student scholars. The University Library contended that there were commercially available data resources that were previously ignored in its acquisitions activities, that acquiring these resources would help prepare library professionals to serve new roles on campus, and that services associated with small data represented a new opportunity for our services to reach the scholarly community that we serve.

A Micro-Funding Opportunity
Looking for an opportunity to meet these objectives, the library’s Office of Collections proposed and sponsored a pilot program. Seeking to explore some of the aforementioned challenges that small data offered, the Office of Collections requested that the library’s Data Services Committee solicit applications from faculty and graduate students who needed to acquire numeric or spatial data for their research. As a pilot program, the library targeted awards toward meeting smaller needs (in the $5,000 range). However, the amount awarded for individual proposals would depend upon the total number and suitability of applications received. This program would enable the University Library to test the waters and better determine the long-term interest in and viability of programming in this area.
The Application Process

The University Library publicized the program on its website, via announcements to subject specialists, and through a weekly e-mail digest distributed to all faculty and staff on campus. Applicants described the goals of their research project, the importance of the requested data to their research, and the uniqueness or unique functionality of the requested data compared to other sources of the same data. Emphasizing the desirability of Internet-accessible data and data available without restrictions that prohibited delivery to the entire campus, the call for proposals also indicated a strong preference for applications that proposed partnerships between librarians and researchers. Although we did not expect many to take up this partnership offer, there was some hope that opportunities would arise for subject specialists to be included in, or otherwise engaged by, research teams.

Some of the inquiries during the application period were questions about the availability of data, and, in two cases, members of the Data Services Committee were able to point researchers to resources that the University Library already owned or to which it already subscribed. Other inquiries were out of scope, related to linguistic data, copies of tangible documents, or requests to cover processing fees for publically available data sets. The Data Services Committee referred these inquiries to appropriate subject specialists in the library. One research team proposed a project where the University Library would purchase address data, which they, in turn, proposed to map. Although this data could not be licensed by the library, the research team would then work with the University Library to give the georeferenced data back to the vendor in exchange for wider access to the original data.

In the end, nine researchers applied, and the library supported six applications. Applications came from researchers in geography, business, political science, agriculture, and psychology. One approved application was for a single year’s subscription with the understanding that the library would not necessarily renew the subscription, but the rest were for discrete acquisitions.

Implications for Acquisitions

The acquisitions process brought its own issues and complications. Variations in local procurement processes and how vendors sell the actual data all affected the potential for successfully fulfilling the request. The necessary components
for any forward movement on the acquisitions included knowing or determining the following:

**What:** Acquisitions personnel were not familiar with the data content descriptors. Such personnel are accustomed to using ISBNs, ISSNs, or other unique identifiers to find and order the correct material. It is critical in a data set order that personnel review every detail, and it is best if those making the initial request provide clear written details about the data set requested. More information is better as vendors have the flexibility to sell data by the year, by a geographic boundary, by subject, or other parameters unique to that data set. Names assigned to data sets by the vendor are different from other library titles, and a lack of clarity may result in orders for the wrong data set. The format of the data is also a key piece of information as the data must be useable, meaning that it both must be ordered and delivered in the way that researchers expect to access the data. For example, data may be delivered via FTP retrieval in XML or on a loaned flash drive in ASCII. Successful acquisition required clarifying and verifying availability and suitability of delivery options prior to finalizing orders.

**From Whom:** At a very basic level, any vendor must be entered into a payables system in order to pay an order—with different requirements for foreign and domestic vendors, those who are individuals, and those that are institutions. In the case of acquiring data sets, many of the vendors are not used to working with institutions. Sellers of small data are often small associations or commercial ventures with limited staff to assist in business operations. Further complications, such as vendors lacking secure sites for credit card payments while simultaneously requiring credit card payments, complicate transactions already saddled with state or institutional procurement requirements, limited experience by the seller with institutional licensing, and limited experience by the buyer with this sort of transaction. Good communication is essential for a successful transaction as well as some thoughtful preparation in asking about options for any part of the process.

**How:** Libraries work within their institutional rules and guidelines in handling business transactions. Private institutions may have more flexibility in that many government procurement requirements do not
apply; however, every institution has purchasing processes to follow. It is best for all parties within the library to be clear on these processes prior to talking with the vendor. When negotiating with vendors typical of those selling small data, the requesting faculty need to know that a successful negotiation depends upon the vendor agreeing to terms and processes that might be beyond the library’s control. In the best case, this means long delays in the purchase process; at the worst, the vendor may not be able to or wish to comply with local purchasing requirements.

**When:** Given the complications of the procurement process, it should not be surprising that acquisitions can be complex and require an extended amount of time. Knowledge of this is not, however, uniform among patrons, and communication about the realities of negotiating these types of acquisitions is critical.

At the University of Illinois at Urbana-Champaign, key partners in the purchase process met to review the program and the list of data sets approved for potential purchase. These individuals reviewed each order in detail to ensure an accurate understanding of the request, completeness of vendor contact information, and accuracy of the researcher’s contact information. These personnel then held conference calls with each vendor to determine the seller’s requirements and whether they could comply with local procurement processes. The calls sought to answer a list of questions, and library personnel made extensive notes of the conversations and made follow-up calls as needed. Initiated with the prior understanding that negotiations may not be successful in either obtaining what was needed or in securing permission to make the data publically accessible, these calls included the library’s Head of Acquisitions, E-Resources Librarian, and Data Services Librarian. As a pilot program, the chance to explore and possibly fail to obtain the ideal situation was accepted as a necessary step in building a program that would eventually work.

**Lessons Learned**

For the pilot project, applicants were asked to describe access restrictions for the data they requested. Not surprisingly, what an individual applicant described as a purchase with campus-wide access was not always data to which the University Library could provide broad, IP-authenticated access. Some data providers only worked with individual researchers and possessed no pricing or
access model that would work for a library. Some acquisitions went smoothly, but others bogged down in the data providers’ concerns that charging once for data to which we would provide broad access would hurt their income stream. While researchers were able to describe requested data and articulate its value for their research, issues like the ability to host the data behind a firewall that requires authentication for members of the campus community, or the different issues faced in purchasing and licensing data required further investigation by members of the Data Services Committee.

While the pilot project provided insight into the use of small data on campus, the Data Services Committee does not have direct relationships with researchers on campus, who tend to work with their departmental liaison librarians. Information about the pilot program was pushed out to liaison librarians for forwarding to their departments, and the Data Services Committee consulted subject specialists about duplication and overlap among requested data resources in their fields. Still, it is clear that there are opportunities for the Data Services Committee’s efforts to benefit subject specialists by bringing them into discussions about the proposed research and any contributions that the library can make to the work. Because the applicants were from a wide variety of departments, the University Library secured a diverse sample of the types of data local scholars need and the sorts of projects they are working on. We were also able to spend collections money on specialized data sets with confidence in their potential use. In many respects, this project represents an effort at expanding the growing universe of patron-initiated acquisitions.

Even when data was not purchased for a researcher, the conversation about how the University Library could help with their research was valuable—both for the scholars and the members of the library’s Data Services Committee. As previously noted, a couple of applicants requested data already in the library’s collection. Another applicant requested support for processing data from a local government agency. Library personnel referred them to a service on campus that helps researchers prepare data for analysis. Clearly, there is an identified service need that the library could help fulfill.

From the acquisitions perspective, the critical lessons all focused on communication. As detailed above, obtaining this type of data requires a
different sort of process, one that requires a variety of library personnel to communicate with one another, with the vendors, and with the scholars interested in accessing the data. It also requires a significant level of documentation beyond that generally gathered. Each transaction and the steps for each order required documentation to ensure the acquisition of the correct data, completed payments, and eventual acquisition of the requested data.

**Next Directions for FY 2012**

Furthering this project and building it into a program requires that the University Library continue to experiment and tweak the process. To that end, the Office of Collections intends to continue supporting this endeavor for FY 2012. In an effort to improve the program, the Data Services Committee began identifying and discussing particularly successful examples from the FY 2011 applicant pool that can be publicized through local media sources. However, even without additional local publicity, the interest demonstrated in our first call for proposals indicates that there is some continued need for this type of programming. The challenges that we face in improving it during FY 2012 reside in laying a firm foundation for successful negotiations with the vendors. To that end, efforts have already begun to refine the application form and application process in order to ensure that all of the appropriate data is gathered and to accelerate the application calendar so that we can leave as much time as possible to successfully negotiate the licenses for these resources.

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3 Ibid., 7.

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Copyfraud and Classroom Performance Rights: Two Common Bogus Copyright Claims

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Introduction: Misrepresenting Copyright

Negotiating copyright law can be challenging even when basic facts are not in doubt. It becomes unnecessarily difficult when publishers, distributors, and even some libraries misrepresent basic facts: which works are under copyright, and which rights a library must purchase to support teaching and learning. Unfortunately such misrepresentations are widespread. This article will describe two common misrepresentations about copyright law: “copyfraud” and “public performance rights” for classroom uses.

Two important limitations to the copyright monopoly are its limited duration and the exception for classroom performance and display of copyrighted materials. The limited duration of copyright ensures that once authors have had a reasonable time (and then some) to exploit their creations, works will rise into the public domain and be set free to circulate without copyright restrictions. The classroom performance exception frees teachers to screen films and other works based on pedagogical goals rather than legal technicalities. In addition to reducing the technical and economic barriers to effective teaching, the classroom exception ensures that rights holders cannot use copyright as a tool for censorship, e.g., by withholding permission to use works in courses where the filmmaker’s point of view is criticized.

Two varieties of misrepresentation are undermining these important features of the law. First, publishers and other distributors of public domain materials are using copyright notices that suggest falsely that public domain materials are in
fact subject to copyright. Second, distributors of audiovisual materials are misrepresenting “public performance rights,” claiming that special fees must be paid to acquire these rights for classroom use, an outcome the law is expressly designed to prevent.

**Copyfraud**

In his exhaustive law review article on the topic, Jason Mazzone describes a wide variety of practices that constitute “copyfraud”—falsely claiming copyright in a public domain work. The most common species of copyfraud is the blanket copyright notice attached to a printing of a public domain work. A typical notice takes the form “© Example Press 1986,” and is often followed by a warning along these lines: “No part of this publication may be reproduced without express permission of the publisher.” While these notices are often included as a matter of routine in the front matter of published works, they are plainly false where the underlying work is in the public domain. Such misleading notices almost certainly deter perfectly legal uses of public domain works. It is particularly troubling that some of the publishers using these misleading notices are academic and university presses.

A legal technicality may explain (but not excuse) at least some of these misleading notices. Until recently, it was necessary to include a copyright notice on all published works in order to retain copyright protection. Works published without proper notice could rise (or fall, from the publisher’s point of view) immediately into the public domain. Because many reprints of classic works are accompanied by critical introductions, new cover art, editorial notes, and the like, which are not in the public domain, notices may have been necessary to preserve copyright in those new materials. A blanket notice in these contexts is deeply misleading, however, as it suggests ownership of the entire work. It is better practice to specify the portion of the work covered by copyright, e.g., “Introduction © 1986 Example Press. Translation © 1975 Edward X. Ample.” Unfortunately, there is little legal incentive for a publisher to specify the parts of a work to which the notice applies, and many still use blanket notices.
Here are some examples:

1. The 2006 Penguin Classics Deluxe Edition of *The Complete Novels* of Jane Austen, all of which are in the public domain, includes the following warning on the copyright page:

   The scanning, uploading, and distribution of this book via the Internet or via any other means without permission of the publisher is illegal and punishable by law. Please purchase only authorized electronic editions, and do not participate in or encourage electronic piracy of copyrighted materials. Your support of the author’s rights is appreciated.5


3. An edition of Jane Austen’s *Sense and Sensibility* published in 2006 by Cambridge University Press contains the following notices:

   © Cambridge University Press 2006
   This publication is in copyright. Subject to statutory exception and to the provisions of relevant collective licensing agreements, no reproduction of any part may take place without the written permission of Cambridge University Press.7

4. Oxford University Press’s World’s Classics edition of Jane Austen’s *Emma* contains a more detailed notice, following the better practice of claiming copyright only in the newly added portions of the book, but then includes the following misleading warning:

   “No part of this publication may be reproduced, stored in a retrieval system, or transmitted, in any form or by any means, without the prior permission in writing of Oxford University Press, or as expressly permitted by law, or under terms agreed with the appropriate reprographic rights organizations.”8

A reasonable reader would be forgiven for thinking that, unless she can find some specific exception in the law, she needs permission from Penguin, Oxford, or Cambridge to reproduce part or all of the classic works included in these anthologies and reprints. In fact, the opposite is true; almost all of the underlying works can be copied freely, even in their entirety, without asking or paying anyone.9 This is not due to a “statutory exception,” nor is it “expressly permitted by law” (per se); it is the upshot of the work no longer being protected at all.
The notice on *Sense and Sensibility* is perhaps the most shocking, as it states unqualifiedly, “This publication is in copyright,” when, in fact, the novel at the heart of the book (like all of Austen’s published works) is not.

Simply conducting a Google Books search reveals that publishers are consistently using similar notices on their reprints of works in the public domain. Mazzone’s article shows these misleading notices are also found on textbooks, sheet music, websites, and reproductions of museum art. One publisher even asserts rights over the US Constitution.

A similar species of copyfraud exists where the creator of a digital or a microfilm scan of a work claims copyright in the scanned version. In reality, simply scanning or photographing a work adds nothing new to the work, and where the original work is in the public domain, so, too, are any scans or films that merely reproduce the work. Mazzone documents vendors, such as ProQuest, who improperly claim rights to microfilm scans of public domain newspapers and the like, but a recent study suggests that libraries themselves are making unnecessarily broad or confusing claims about rights in scans they create.

In 2009, Melanie Schlosser examined the publicly available digitized collections of 29 members of the Digital Library Federation and found several disturbing trends in the notices that accompanied these collections. In over 40% of the collections, the library provided little or no information about the copyright status of the collection—whether items were in the public domain, protected by copyright, or if the status was unknown—leaving users to fend for themselves. Of the collections that bore statements about copyright, “quite often” collections that included public domain materials, and even some collections made up entirely of public domain works, were accompanied by Creative Commons licenses or claims of rights to the digital image as distinct from the original. Some collections were encumbered with acceptable-use terms that were in conflict with copyright, i.e., that purported to limit uses of public domain materials. Less than 10% of the notices mentioned either the public domain or fair use.

Schlosser’s findings present an opportunity for libraries to evaluate their copyright policies and engage in new efforts to educate users about the rights they have to copy, use, and share materials the libraries posted to the web. In an interview published in the October 2009 issue of *Research Library Issues*, Cornell University’s Senior Policy Advisor Peter Hirtle describes the Cornell University
Library’s decision to remove all restrictions on use of the library’s public domain works.15 As Hirtle explains, making this material freely available is consistent with the library’s educational mission and values, and the costs of controlling access may well have exceeded expected revenues from charging for access. It was also valuable for the library to have a consistent message about the importance of wide access to materials as it moved forward on open access and other policy initiatives.

To be sure, libraries are entitled to control access to the materials in their collections, and, under certain circumstances, to charge for services in connection with providing access to materials. Some of the policies Schlosser describes seem to be based on these theories. But, as the interview with Peter Hirtle shows, there may be considerable value in foregoing these limitations in favor of a more open policy.

**Public Performance Rights for Classroom Uses**

A second variety of misleading copyright claim is the oft-repeated assertion that showing audiovisual materials (i.e., films) in a classroom setting requires a special “public performance” license, or the purchase of an “institutional” copy. This claim is based on the existence of a performance right under the Copyright Act, which is intended to give rights holders control over public exhibitions of their works.16 Because of this right, mere ownership of a copy of a DVD, for example, does not necessarily entitle the owner to stage a public showing of the film. Indeed, a separate license is required for most public performances (i.e., showings) of audiovisual materials to groups larger than family or friends.

This right is limited, however, by another provision in the law that states that the performance right does not apply to:

- performance or display of a work by instructors or pupils in the course of face-to-face teaching activities of a nonprofit educational institution, in a classroom or similar place devoted to instruction…17

All that is required for these teaching uses is a lawfully made copy of the work (i.e., the copy cannot be a bootleg or otherwise illegally created). In a nutshell, this provision tells libraries that, unlike other users, they do not need to acquire additional performance rights for in-class performances (and analogous teaching uses) of legitimate copies. If a teacher finds the DVD she needs at Target for $5 (or at a garage sale for 25¢), she can buy it and show it in class;
indeed, that is exactly what the law intends to empower her to do, to use materials in class without having to seek out special rights or editions. Staging a film festival or showing a movie for a student club may require special licenses, but teaching uses are clearly exempt from performance rights requirements.

Although the Copyright Act unambiguously absolves teachers (and, by extension, libraries) from paying special performance fees for classroom uses, any librarian who acquires audiovisual materials can tell you that vendors present them with a dizzying variety of “rights” and tiered pricing schemes based on the opposite notion: that libraries and schools are required by law to shoulder costs not required of normal users. Laura Jenemann has assembled a nice group of examples in a recent paper on the subject. Jenemann documents misrepresentations by major educational film distributors, including Women Make Movies, Direct Cinema Limited, and Bullfrog Films. Each of these distributors uses “public performance rights” to partially justify price discrimination, i.e., charging different prices to different users for the same content. Vendors suggest that libraries are getting something more for their inflated price; indeed, they tell libraries that to make the classroom uses that their teachers need, the more expensive product is required. In reality educational users simply do not need these rights for classroom uses. Libraries may consider buying these rights for other uses, but vendors who claim licenses are required for classroom teaching are not making it easy for librarians to determine which license is right for them.

Vendors are entitled to set whatever prices they like for their products. Vendors who sell unique products exclusively to institutional customers often charge higher prices across the board compared to retailers that sell mass-market goods to the public. Sellers are even free to charge different types of users different fees for exactly the same product. Software vendors do this when they charge students lower prices than standard or commercial users. They can use license agreements to enforce these pricing schemes by having buyers represent in a contract that they will not use the product in circumstances that exceed the license, e.g., that a “home use” copy will not be shown in a classroom. Although similar licenses have come under criticism from legal scholars for creating unnecessary limitations on legitimate uses, courts have typically enforced them.
Libraries should understand, however, that copyright law is not the basis for the limitations in these contracts; when libraries sign these licenses, they are agreeing to limit their rights despite the law’s preference for educational use.

**Four Things Libraries Can Do to Stop (or Alleviate) Misleading Copyright Claims**

The law provides very little in the way of disincentive for copyfraud and misrepresentation of copyright law, but there are things libraries can do to minimize the negative impact of these bogus claims:

**Know your rights.** The evidence shows that many rights holders simply are not providing accurate information when they make claims about the scope of copyright and the availability of important exceptions for users. When a book or a digital scan is inscribed with boilerplate copyright language, that can be the beginning of an inquiry about its copyright status, but it may be worthwhile to dig deeper to determine whether these representations are accurate. When a vendor tries to sell you “rights,” remember that they have their own reasons to try to extract as much money as possible from users; “caveat emptor” should be your watchword here, as in any market transaction.

**Read before you sign.** Vendors and other content aggregators cannot change the law by misrepresenting it on their websites, but they can tie your hands with a license that takes away rights that the law has given you. Before you agree to limit the uses your institution will make with a “home use” version of a film, remember that by default the law says a teacher can show any lawfully made work in class without paying a special fee.

**Don’t buy more “rights” than you need.** If there is no license agreement, or if the license agreement for a “home use” version of a film does not specifically limit your right to use the work for teaching, consider taking advantage of your legal rights and buying these cheaper versions rather than paying for “rights” or “editions” you do not need. The Bullfrog Home Use license, for instance, appears to be perfectly adequate for teaching uses, despite what the company’s website claims. While performance rights may be useful for film festivals or student clubs, they are not necessary for the core teaching and learning uses that most research libraries support.
Be part of the solution. Libraries themselves can perpetrate all of the copyright misrepresentations described in this article. More and more libraries are making the effort to be more transparent about these issues, however, and the policy arguments for doing so are compelling. Several institutions have adopted policies that could serve as good models for others in the community.  

1 17 U.S.C. §§ 301–305. This feature is also grounded in the US Constitution, which requires copyrights to be “for limited times.” U.S. Const. art. I, sect. 8, cl. 8.

2 17 U.S.C. 110(1).


4 Although protection is no longer conditioned on proper notice, there are still some legal benefits to including a copyright notice, so publishers continue to do so.

5 The copyright page can be previewed on the Google Books website: http://books.google.com/books?id=a6lokmcqq5C&pg=PP1&dq=inauthor%3Aausten&pg=PR4#v=onepage&q&f=false. While scanning and uploading the entire book would capture supplemental material that is under copyright, it would be easy to exclude this material and scan only the novels, which are in the public domain. The author’s rights in the novels have long ago expired.

6 This example is described in Stephen Fishman, The Public Domain: How to Find & Use Copyright-Free Writings, Music, Art & More (Berkeley: Nolo, 2010), 80. Of course, the anthology includes new material created by the editors, and that new material is protected by copyright. The bulk of the anthology, however, consists of anthologized public domain material.


9 A few of the worksanthologized in the Oxford Anthology of English Literature are still under copyright, but the vast majority are not. Critical introductions and editorial notes are copyrighted, but the core works are in the public domain.

10 An advanced search of Google Books using authors like Austen whose works are out of copyright and publication dates in the last two or three decades consistently turns up reprints with inaccurate notices and warnings.


12 Ibid., 1028.

13 Indeed, the Supreme Court addressed microfilms specifically in New York Times Co., Inc. v. Tasini, 533 U.S. 483, 502 (2001), explaining that they are a “mere conversion…from one medium to another.”


16 17 U.S.C. § 106(4). This allows rights holders to profit from movie theater uses, for example.


20 Direct Cinema Limited claims on its website that if you buy a DVD, “you are not allowed to show it in a classroom, library or any other public place without a Public Performance License.” See Direct Cinema Limited, “Details: Public Performance License,” http://directcinemalimited.com/details.html#public. In fact, § 110(1) allows showing in a classroom, library, or other “similar place devoted to instruction” without any additional rights or license.

21 The Bullfrog Films site suggests that showing films in a classroom would be a “public performance” and steers educational users away from the “home use” versions of films as they do not include additional performance rights. At the same time, their license agreement for home use films specifically recognizes that § 110(1) allows performance of films in teaching regardless of whether “performance rights” have been acquired. See Jenemann, 3–4.

22 It is a criminal offense to falsely claim copyright “with fraudulent intent,” but that intent requirement makes the offense virtually impossible to prove; accused publishers can easily argue that misleading notices are innocent mistakes. Consequently, there are very few prosecutions under the statute. It does not help that the penalty, even for a proven fraud, is “not more than $2,500.” Copyright infringement, by comparison, has no intent requirement, and can involve damages of up to $150,000 per work infringed. There is a striking imbalance between the extraordinary protections afforded to copyright holders and the practically nonexistent protections for the public domain. See Mazzone, “Copyfraud,” 1036ff.


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News

ARL Transitions

Buffalo (SUNY): H. Austin Booth was named Vice Provost for University Libraries, effective August 5, 2011. She served as Interim Associate Vice President for University Libraries since June 1, 2010.

Cincinnati: Victoria Montavon announced her decision to step down as Dean and University Librarian in August 2012, when she will return to the library faculty.

Guelph: Mike Ridley announced that he will not seek reappointment as Chief Information Officer and Chief Librarian when his term ends January 1, 2012. He plans to return to the university in 2014 after an administrative/sabbatical leave.

National Library of Medicine (NLM): Joyce E. B. Backus was appointed Deputy Associate Director, Library Operations, and NLM representative to ARL, effective June 13, 2011. She was previously Deputy Chief, Public Services.

Oklahoma: Sul Lee announced that he will retire as Dean of University Libraries, effective June 30, 2012.

Queen’s: Martha Whitehead was appointed University Librarian, effective July 1, 2011. She served as Interim University Librarian since July 2010.

Rochester: Mike Bell, Assistant Dean for Information Technology & Finance, and Katie Clark, Associate Dean for Public Services & Collection Development, were appointed Interim Co-Deans of River Campus Libraries, effective July 1, 2011. Katie Clark is the ARL member representative for Rochester.

Temple: Carol Lang, Assistant University Librarian for Organizational Development and Planning, was named Interim Dean of Libraries, effective August 1, 2011.

Washington in St. Louis: Shirley Baker announced her plans to retire as Vice Chancellor for Scholarly Resources and Dean of University Libraries, effective June 30, 2012.

ARL Staff Transitions

Tricia Donovan was promoted to Communications and Project Coordinator, effective June 13, 2011. She joined the ARL staff in June 2009 as an Administrative Assistant supporting ARL’s strategic directions.
Yolanda Glass resigned as Administrative Assistant for Statistics and Assessment, effective July 15, 2011, to accept a position back home in California that builds upon her recent degree in graphic design from the Art Institute of Washington.

Charles B. Lowry, ARL Executive Director, announced his decision to retire at the end of December 2012.

Kristin Riccard completed her one-year appointment as ARL Law and Policy Fellow at the end of August 2011. Her fellowship was supported by her current employer, the Washington, DC, law firm Ropes & Gray.

Judy F. Ruttenberg has been appointed Program Director for Transforming Research Libraries (TRL), effective November 1, 2011. She is currently Program Officer for Collections at the Triangle Research Libraries Network (TRLN).

Lindsay Sarin resigned as ARL Program Assistant in September 2011 to take a position as a reference librarian at the University of the District of Columbia. She recently earned her MLS from the University of Maryland.

**ARL Visiting Program Officer Transition**

Jolie Ogg Graybill was appointed as an ARL Visiting Program Officer, assisting with ARL Diversity Programs and Leadership Initiatives effective September 2011. Graybill is Image & Multimedia Collections Coordinator and Assistant Professor at the University of Nebraska–Lincoln Libraries.

**Other Transitions**

**IFLA Governance:** Ingrid Parent (British Columbia) transitioned into her role as President of IFLA at the IFLA World Library and Information Congress in Puerto Rico in August 2011.

**LYRASIS board:** Two ARL member representatives—Jay Schafer (Massachusetts Amherst) and Julia Zimmerman (Florida State)—were elected to the LYRASIS Board of Trustees, effective July 1, 2011.
Honors

Joan Giesecke (Nebraska–Lincoln) received the 2011 ALA Equality Award at the ALA Annual Conference in New Orleans this summer. Giesecke was recognized for her commitment to principles of diversity and inclusion at the University of Nebraska and for her work, advocacy, mentorship, and leadership in this arena on a national level.

Paula Kaufman (Illinois at Urbana-Champaign) has been named the Illinois Academic Librarian of the Year for 2011 by the Illinois Association of College and Research Libraries. The award recognizes Kaufman’s extraordinary leadership in Illinois, her vision and strategic thinking for the future of libraries, and the generosity with which she shares her inspirations.

Joan Lippincott (CNI) received a Minerva Award from SUNY Geneseo during the summer reunion. The award recognizes alumni for outstanding achievements and excellence in librarianship.

Rush Miller (Pittsburgh) was named the recipient of the 2011 Chinese American Librarians Association (CALA) Distinguished Service Award, which recognizes his outstanding contributions to the advancement of Chinese American librarianship and cooperation between American and Chinese libraries.

Ingrid Parent (British Columbia) received an honorary doctorate from the University of Ottawa on June 11, 2011, as part of its 190th convocation.

Carlos Rodriguez (ARL Leadership and Career Development Fellow, 1997–98) was awarded the Trejo Librarian of the Year Award by REFORMA, the National Association to Promote Library and Information Services to Latinos and the Spanish Speaking. The Trejo Award recognizes a librarian who has distinguished him- or herself in the field of librarianship, promoted and advocated services to the Spanish–speaking and Latino communities, and made outstanding contributions to REFORMA. Rodriguez is Associate Dean of Technology and Information Services at Grand Valley State University in Michigan.
ARL Calendar 2011

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

October 11–13  ARL Board & Membership Meetings
                Washington, DC

October 13–14  ARL-CNI Fall Forum
                Washington, DC

November 8–10  Berlin 9 Open Access Conference
                Washington, DC

December 5–7  International Digital Curation Conference
                Bristol, UK

December 12–13 CNI Fall Membership Meeting
                Arlington, Virginia

ARL, LibQUAL+, and SPARC at ALA Midwinter
in Dallas, January 20–23, 2012

http://www.arl.org/events/arlala/

Friday–Monday  ARL/LibQUAL+/StatsQUAL® booth (#1649)
January 20–23

Friday, January 20  ClimateQUAL® Partners Meeting
9:00 a.m.–Noon

Friday, January 20  ARL Library Assessment Forum
12:30 p.m.–2:00 p.m.

Friday, January 20  ARL Survey Coordinators and SPEC Liaisons Meeting
2:30 p.m.–4:00 p.m.

Saturday–Sunday,  ARL Annual Leadership Symposium
January 21–22

Saturday, January 21  SPARC-ACRL Forum on Emerging Trends
4:00 p.m.–6:00 p.m.

Saturday, January 21  ARL Diversity Programs Reception
6:30 p.m.–8:30 p.m.

Monday, January 23  LibQUAL+® Training Sessions
8:30 a.m.–4:30 p.m.
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