

SPECIAL COLLECTIONS IN ARL LIBRARIES

Results of the 1998 Survey

Sponsored by the ARL Research Collections Committee

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Special Collections in ARL Libraries

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Special collections contribute in a fundamental way to the mission of the modern research library. ARL university libraries, while differing in the specifics of their goals, generally embrace the obligation to collect, preserve, and make available primary source materials for both current scholarship and future research. The approach of individual institutions toward this mission varies, shaped by a range of local factors including the strengths and orientation of the parent institution and the strategic priorities of the library, as well as the library's collecting history and traditions. Nevertheless, the commitment to maintaining special collections is broadly shared. For most research libraries, special collections are a point of considerable pride. Indeed, it is frequently a library's special collections that serve as one of its defining elements, differentiating the institution from otherwise similar peers.

A number of independent research libraries—the Folger or the Newberry libraries, for example—are united by their primary identity as special collections. Their mission may not be easily accomplished, but the central object of this mission is clear. By contrast, special collections within the university research library face an additional set of challenges, for in this context they exist as just one element in a comprehensive program of library services. The administration of special collections in university libraries must be closely coordinated with—and in some cases balanced against—simultaneous priorities.

It was from the viewpoint of directors of university libraries, called upon to make decisions about special collections alongside other equally pressing institutional concerns, that ARL's Research Collections Committee first expressed interest in this area. We on the Research Collections Committee recognized that our objectives as directors would not necessarily always coincide with those of our special collections curators. Nevertheless, our interest was intended to be supportive in nature. Many of us wished to be better equipped to protect and promote special collections as an essential element of libraries within a higher education environment that has increasingly turned its attention and resources to performance measures, distance education, the crisis in scholarly communications, and similar issues. We were interested in better articulating the relative role of special collections within the library program and in more visibly integrating special collections with the goals of the library and the university.

We also recognized that, despite occasionally differing viewpoints, some of the basic issues facing special collections at the dawn of the 21st century would be most effectively addressed by directors and curators acting together. These issues include the following:

- *The changing role of the research library in higher education.* How must special collections be positioned to continue as a primary element in the research library and the university mission?
- *The impact of digitization.* How do new technologies influence not only the operations of special collections, but even the basic mission and goals of special collections?
- *The challenge of selecting, preserving, and making available the voluminous cultural record from the 19th century onward.* How should actual, anticipated, or desired changes in collecting patterns shape institutional and interinstitutional goals and procedures?
- *The potential for cooperative action.* Can the general goals of special collections be expressed as a collective obligation of research libraries that would additionally help to direct local decisions?

As the Research Collections Committee began pondering these issues, it soon became clear that certain types of basic information were simply unavailable to us. Most significantly, we found no standard framework of benchmarks and comparative data, such as are normally used in other areas of decision making. While we had access to deep longitudinal data about our collections and services generally through the ARL annual statistics program and to specific programmatic areas such as through the ARL preservation statistics, no such measures were available regarding special collections. It was thus decided that a quantitative survey would be a logical starting point and that the data gathered would constitute welcome common ground for an issue-centered dialogue about special collections.

The publication that you now read is the direct result of those early conversations. The data can serve at least two immediate purposes. First, they should provide some of the information that directors felt they were lacking when making local decisions about special collections. How do special collections staffing and expenditures, for example, compare with peer groups? What national trends ought to be considered when making local decisions? How do programs compare in size and scope? The publication of relatively recent comparative data should prove beneficial in administering special collections and advocating on their behalf.

At the same time, the data can serve as a foundation for collective action. Since the earliest discussions regarding the survey, ARL has expressed an unwavering interest in and a growing level of activity around special collections. This includes the May 1999 ARL membership meeting on the theme of "Special Collections in the Digital Age" and several *ad hoc* gatherings of ARL directors and curators to begin articulating

issues and questions surrounding special collections. These efforts have culminated in planning for a symposium on special collections that will take place in June 2001 and that will have as its goal the development of a formal ARL special collections agenda. This was one of the original hopes of the Research Collections Committee, which continues to believe that ARL is the most appropriate organization to facilitate such an initiative. Not only does ARL's membership consist of institutions with similar interests and priorities, but it also has a successful history of effective collective action, through initiatives such as the Global Resources Program and the launching of the Scholarly Publishing and Academic Resources Coalition (SPARC).

Admittedly, this study is only a first attempt to quantify the complex operations of special collections. It is not without flaws, due in part to the lack of standardized definitions, widely divergent administrative structures for special collections, and

differences in local statistical tracking. Nevertheless, the survey was developed and executed with a great deal of care through the dedicated and persistent efforts of Judy Panitch, and it elicited an exceptional response rate. The results can be considered a promising foundation for the types of local and collective action described above. Perhaps more than anything, this survey confirms the richness and the challenges of special collections in research libraries and the need for further study, so that their full potential can be successfully realized in and integrated into a fluid environment of changing academic emphases, evolving technologies, and multiple priorities.

Joe A. Hewitt

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Chair, ARL Research Collections Committee (1997–2001)

A C K N O W L E D G E M E N T S

This project could not have been completed without the suggestions, advice, and support of numerous individuals. This list is bound to be incomplete, but I am grateful for all the valuable assistance given so generously by so many and in so many ways.

The institutions that participated in this survey by compiling data, sharing documents, and responding to frequently extensive follow-up questions deserve particular thanks. The information they so willingly furnished is the strength of this study. Funding from The Andrew W. Mellon Foundation supported the publication of this report and has permitted its wide distribution.

I would like especially to thank Joe Hewitt, who first suggested this survey, encouraged me to take it on, and supported this project through many more phases, analyses, and rewrites than either of us had ever imagined possible. The special collections personnel at the University of North Carolina at Chapel Hill—particularly Marcella Grendler, Bob Anthony, Libby Chenault, Roberta Engleman, Jan Paris, and Tim Pyatt—shared their many accumulated years of professional insight on numerous occasions. Librarians at Brown University, the University of California-Los Angeles, Columbia University, Duke University, the University of Maryland, McGill University, the University of North Carolina at Chapel Hill, North Carolina State University, Rice University, and the University of Virginia

tested an early survey instrument and provided much helpful feedback. Angel Beza of the Institute for Research in the Social Sciences at the University of North Carolina at Chapel Hill provided a practiced critique of the survey instrument and José Sandoval gave expert advice on the wrangling of data.

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Executive Summary

Findings

The status of special collections in ARL libraries is generally positive.

1. Special collections in ARL libraries constitute a vast and varied resource, and the overall trend is one of growth. Collections are growing not only in size, but in scope, including many less traditional subject and format areas, and in levels of use, both local and remote. Staffing levels at most institutions are stable or growing. Most special collections have received a stable or growing portion of institutional resources. Nearly two-thirds of institutions reported that special collections facilities had been newly built or renovated in the 10 years preceding the survey. Most institutions also reported high levels of physical protection for special collections and reported either making progress or holding steady in preventive care and conservation.

2. Special collections programs in the largest institutions differ significantly and consistently from other programs. The mean values for special collection size, staff, and expenditures were 2.5 to 3 times higher for the 18 largest institutions than for the group as a whole. To some degree, this difference is attributable to the existence of a few extremely large collections and to three very large libraries with substantially higher staffing levels. Larger institutions were more likely to participate in cooperative special collection development arrangements and to have built or renovated special collections facilities. They also rely more heavily on endowment funds and less on appropriations to support special collections.

3. While some differences emerge between private and state institutions, a more prominent distinction is that between Canadian and U.S. institutions. For measures of special collections size (both volumes and manuscript linear feet), staffing levels, and total expenditures, private institutions exceeded the mean substantially, while Canadian institutions were far below it.

Concerns

Despite the generally sound state of special collections in ARL libraries, some areas of concern remain:

1. Will ARL institutions be able to continue collecting the special collections materials needed for teaching and scholarship?

There is a gap between the relative weight of special collections in a library's holdings and staff and the share of material expenditures it receives. Despite high levels of gifts-in-kind for special collections accessions, purchases continue to play a major role, particularly purchases with appropriated funds, and some special collections may be more vulnerable to budget cuts

than is generally supposed. Greater financial independence would enhance special collections' ability to engage in collecting initiatives. Given the extent of the collecting tasks that lie ahead for special collections, the infrequency of formal cooperative collecting arrangements is striking. And space for collections is a nearly universal problem.

2. Is adequate intellectual access being provided for special collections materials?

Significant portions of many special collections have not yet been cataloged or processed, and these backlogs impede full access to and optimal use of special collections materials. The most frequent type of available access is through card catalog records or manual finding aids. The potential of the Internet to provide shared access to information about special collections was only beginning to be tapped at the time of the survey.

3. Are staff levels and available skills appropriate to support the growing size and scope of special collections?

The high percentage of special collections units involved with management of digitization projects suggests that this is a growing responsibility and an area in which special collections practitioners are being asked to develop expertise. The high involvement of special collections personnel in development activities, particularly those other than fundraising, is also striking.

4. Are channels of internal communication and cooperation being fully exploited to support special collections?

Less than half of the institutions surveyed reported that special collections were addressed in a librarywide collection development policy, and less than half also reported having a current multiyear or long-range plan for special collections.

5. Is a sufficient investment being made in the preservation of special collections materials?

There is apparent dissonance between subjective ratings and reported activity. One-quarter to one-half of those libraries reporting that their programs were making progress or holding steady on the conservation of special collections also reported no conservation or repair treatment of special collections materials in 1996-97. More than a quarter of all institutions had no staff time at all devoted to conservation or repair of special collections materials, and contracted services were not generally being used on a large or comprehensive scale. Over a third of all institutions reported inadequate temperature and humidity control for all or most special collections facilities.

Institutions seemed less optimistic about reformatting operations for special collections materials than about other types of treatment. Perhaps because of technological obstacles, the high costs of many types of less traditional reformatting or lack of a programmatic response, certain special collections materials may, in fact, not be receiving the preservation attention they require. The very low number of institutions with policies for the preservation of electronic records in place at the time of the survey suggests that many institutions are still in the process of developing or articulating such an approach.

Unanswered Questions and Areas for Further Investigation

- No clear picture of the organizational placement for special collections within the organizational structure of the library could be discerned, largely because of the multiplicity of titles in use among ARL libraries and their lack of comparability.
 - A large percentage of materials arrive in some special collections by way of transfers from the circulating collections. The definition of what constitutes special materials is expanding, and some materials that qualify are located elsewhere in the library. What implications does this situation have for the management of these materials?
 - Are there desirable alternatives to existing arrangements for technical processing functions that might involve greater centralization, cooperation, or integration of certain staffs?
 - What are the best uses of the significant experience that special collections staff has developed in fundraising, grantwriting, publicity operations, and managing digitization projects? Given the scope of and potential for changes in the job descriptions for special collections staff, what kinds of skills will be necessary and how should new professionals be recruited and trained?
 - What are the most appropriate measures by which to evaluate and compare usage of special collections, and what are the most appropriate terms in which to convey the centrality of special collections to all levels of research and scholarship?
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I N T R O D U C T I O N

Survey Results

Background

Special collections have been variously termed “indispensable,”¹ “different,”² even “wicked,”³ in all the modern and archaic senses of that word. Certainly, special collections are, as their name implies, special, consisting of materials ranging from rare books to recordings and from posters to postcards. In most libraries where they exist, special collections constitute a significant element of operations and a critical resource for scholarship.

Nevertheless, very little empirical data have been gathered to describe the operations of special collections or pinpoint areas of evolution, need, or opportunity. The last survey of special collections among ARL libraries was conducted in 1979, prompted, even then, by the recognition that “with mounting financial pressures and accountability, many libraries are faced with the challenge of justifying support for special collections materials.”⁴ Recent trends—including downsizing, cost-cutting, outcomes-based assessment, and interest in digital collections—have intensified the scrutiny to which special collections are subject, even as the collections themselves become more diverse and more complex.

In the face of both accelerated change and mounting pressure, the need for increased communication about special collections is clear, particularly between library administrators and special collections personnel, whose views about the status of special collections sometimes differ. With these considerations in mind, the Research Collections Committee of the Association of Research Libraries (ARL) suggested surveying ARL members to provide some foundation for decision making and a basis for further dialogue.

Because its members are among the largest and most active North American libraries, ARL is in a unique position to evaluate special collections. ARL’s many programs and services are intended to promote equitable access to, and effective use of, recorded knowledge in support of teaching, research, scholarship, and community service. The Association’s recent strategic objectives include goals relating to access, collection development, preservation, technology, staffing, management, and measurement. While all of these areas relate to special

collections, the Research Collections Committee (RCC) is specifically responsible for issues of acquiring and making accessible materials that support research, as these issues relate to both individual libraries and the membership as a whole. The RCC was thus well situated to sponsor a survey initiative on behalf of ARL.

Although the questions that could be raised regarding special collections are many, the relevant studies are few. The 1979 ARL SPEC survey examined special collections staffing, collection size, and expenditures for rare books, manuscripts, and archives collections among 66 ARL libraries. Because of the survey’s age, results offer little guidance for decision making in today’s environment. In addition, because the 1979 data were reported strictly categorically, in terms of ranges rather than as continuous measurements, it is difficult to use the results for comparative purposes. Despite these limitations, a continuity of certain concerns exists regarding special collections. The SPEC flyer summarizing the 1979 survey observes, for example: “A fundamental concern of special collections units as they attempt to respond to a tightening economy and increased emphasis on accountability is justification of the high costs of acquiring, cataloging, preserving, and storing materials that are of national importance but are difficult to support at a local level.” The flyer also identifies “bibliographic control, preservation/conservation and housing of materials, and user services” as major challenges.

In 1986, the Association for College and Research Libraries (ACRL), a division of the American Library Association, published a survey on *Special Collections in College Libraries*⁵ as part of its CLIP series which, like ARL’s SPEC series, combines questionnaire data with documentation supplied by participating libraries. The CLIP survey included a much broader range of questions than the earlier SPEC survey. Respondents were asked, for example, about the types of library records existing for special collections; sharing of records; circulation and usage policies; outreach activities; and preservation and security measures. The survey’s author reported an 80 percent completion rate, suggesting a high level of interest in the issue of special collections. The ACRL survey,

¹ William Goodrich Jones, “Leaner and Meaner: Special Collections, Librarians, and Humanists at the End of the Century,” *RBML*, 8, no. 2 (1993): 82.

² Daniel Traister, “A Caucus-Race and a Long Tale: The Profession of Rare Book Librarianship in the 1980s,” *Library Trends*, 36 (Summer 1987): 142.

³ Brian E. C. Schottlaender, “Something Wicked This Way Comes: Special Collections as Viewed by a Technocrat,” *RBML*, 8, no. 2 (1993): 98–103.

⁴ Association of Research Libraries. *Special Collections in ARL Libraries*. SPEC Kit 57. (Washington, D.C.: Office of Management Services, 1979).

⁵ Christine Erdmann, *Special Collections in College Libraries* (Chicago: American Library Association, Association of College and Research Libraries, 1986).

however, dealt with institutions of a much different profile than ARL libraries—eight percent of respondents had no special collections, for example, and most had special collections of fewer than 10,000 volumes, staffed by less than one full-time equivalent (FTE) staff member.

Other more recent efforts have studied constituencies that are also not strictly comparable to ARL libraries, or else have focused on very specific topics. Susan M. Allen, for example, describes a 1995 survey of 74 well-respected liberal arts college libraries, almost all of which reported maintaining special collections.⁶ Allen observed an apparent association between the highest-ranking colleges and endowments for special collections, but found that most collections were “woefully understaffed,” and that opportunities were missed to promote special collections through the institution’s programs and through listings in standard reference tools. She concludes by citing a number of successful models that have involved undergraduates with special collections materials.

Another 1995 survey, SOLINET’s Southeastern Special Collections Access (SESCA) project, investigated existing and planned Internet access to finding aids among SOLINET member libraries.⁷ Although the electronic environment has changed since the time of the survey, institutions did report that large percentages of special collections holdings lacked any type of formal intellectual access—a finding supported by the ARL survey reported here—and that a majority of respondents were interested in cooperative projects to make finding aids electronically available.

These survey initiatives attest to a continuous and widespread interest in special collections among libraries of many types. They are not able, however, to provide a complete and current picture of the status of special collections in the research environment or to serve as the basis for subsequent ARL action.

The most pressing priority, therefore, was to conduct a large-scale survey about a broad range of issues. Given the paucity of comparative data, the survey took a quantitative approach, focusing on special collections materials and on a wide array of associated management issues. The areas addressed in the questionnaire were as follows:

- Collections (size and scope)
- Organization and Administration
- Facilities
- Use and Users
- Preservation and Conservation
- Electronic Activities

The intent was to produce a snapshot of special collections in ARL institutions at the end of the twentieth century. It was hoped that through the survey process, some of the most pressing qualitative issues regarding special collections would come to light and that, in any event, the data would provide a common point of reference for future discussions about special collections. At the same time, it was recognized that a set of benchmark figures was much needed and, however rough, could serve as an aid in local decision making.

Survey Procedures

A survey instrument was designed and revised in early 1998. Ten libraries—selected to provide a diversity of type, size, and geographic location—tested the instrument. The finalized survey was sent to all ARL library directors in July 1998. Although many institutions were known to have multiple special collections, a single form was sent to each, with the request that responses be collected and coordinated locally and returned by September 15, 1998. Institutions were asked to provide FY 1996-97 data. The survey questionnaire is reproduced in Appendix 1.

In all, 99 academic libraries, or 90 percent of the 110 ARL academic members at the time of the survey, completed the special collections questionnaire. In addition, four nonacademic member institutions participated in the survey. Two other nonacademic members (Center for Research Libraries and the Canada Institute for Scientific and Technical Information) reported holding no special collections. Responding institutions were contacted individually to provide missing data and corrections or additional information regarding inconsistencies and unclear responses.

⁶ Susan M. Allen, “Rare Books and the College Library: Current Practices in Marrying Undergraduates to Special Collections,” *RBML*, 13, no. 2 (1999): 110–119.

⁷ Southeast Library Network, *Southeast Special Collections Access Survey* <<http://www.solinet.net/monticello/sesca/sesca.htm>>, Feb. 1, 2001.

Data Presentation

Because of the length of the survey and the unexpectedly high response rate, the amount of data generated proved challenging to represent clearly. As with all ARL nonannual surveys, confidentiality of responses was guaranteed to all participants. This report does not, therefore, display individual institutional data, although certain types of supporting information (for example, new collections) are identified by institution in the appendices.

In order to permit peer comparisons, each institution was classified both by the categories Canadian, private, or state and by size. The groupings for size-based analysis are the same as those used in other ARL statistical publications:

Group 1	Over 5 million volumes
Group 2	3–5 million volumes
Group 3	2–3 million volumes
Group 4	Fewer than 2 million volumes

Institutions were assigned to one of these four groups on the basis of the *ARL Statistics 1996–97*, the same year as the survey data collected. The use of size-based groups as a category of analysis is justified by the high degree of correlation between these groups and the size and scope of special collections operations.⁸ This method further allows institutions to situate themselves more accurately for benchmarking purposes than would use of percentiles based on special collections data. Appendix 2 lists all participating institutions and notes both the category and group of each.

The four participating nonacademic institutions (Boston Public Library, Library of Congress, Linda Hall Library, and National Library of Canada) defied meaningful data analysis. In addition to differing significantly from the academic institutions, they also varied considerably among themselves, making any comparisons questionable at best. Therefore, although these and other nonacademic libraries clearly make an essential contribution regarding special collections, they are not included in this report. Where applicable, information about nonacademic respondents has been included and clearly identified in the appendices.

Data Interpretation Issues

Several factors seemed consistently to influence the data.

Special Collections Materials vs. Special Collections Units

The survey instructions defined special collections as follows:

Library materials which, in addition to supporting research, are often characterized by artifactual and monetary value, by uniqueness or rarity, and by a long-term preservation and access commitment on the part of the library. This normally excludes general collections characterized by format (e.g., nonprint or microforms departments) or by subject specialization.

This definition was adopted because it is not dependent on the significant organizational diversity that is characteristic of large libraries, but instead defines special collections on the basis of materials. Special collections materials, in other words, might reside just as easily in a branch library collection or a professional school library as within a designated special collections facility.

Nearly all respondents, however, did rely on local organizational structures to identify and describe special collections and confined their reporting to established rare book and manuscript operations or similar units. Not only are such units most likely to contain the types of materials corresponding to the above definition, but it is on the basis of these structures that most statistical and financial records are already kept. One consequence of this reliance was the exclusion by reporting institutions of smaller pockets of materials, with their associated resources and services, to say nothing of “medium-rare” or other general collections materials that could fall under the provisions of the survey definition. Because so many institutions related responses to organizational units, this report adopts a similar approach and assumes that materials designated as special collections generally reside in specific special collections units with dedicated facilities, staff, funding, and other resources.

What’s Special?

Reliance on organizational structure amplified the effects of differing institutional definitions of special collections. Materials that one library might consider special would not merit such treatment elsewhere. Similarly, some special collections include units such as oral history archives, while similar units may report outside of special collections, or even outside the library, at other institutions. The instructions essentially left the identification of special collections to the discretion of the reporting institutions.

⁸ Approximately three-quarters of Group 1 institutions have special collections that fall into the first quartile for special collections volumes held, for manuscript plus archive holding in special collections, and for special collections FTE staff. Slightly more than half of Group 1 institutions fall into the first quartile for total special collections expenditures. No Group 4 libraries fall into the first quartile for any of the special collections measures listed, while a fairly high percentage falls into the fourth quartile. Group 2 and 3 institutions tend to display a greater degree of distribution but cluster most consistently around the median. Distinctions between the largest institutions and others are explored more fully in Chapter II of the survey findings.

Multiple Collections

Survey results were also influenced by the widely varying administrative structures of special collections. In particular, some institutions with multiple special collections found it necessary to omit data relating to one or more units, or encountered difficulty in characterizing their programs in a global way. The result is that institutions may have reported data relating to their special collections with varying degrees of comprehensiveness. Presenting only aggregate data in this report in part mitigates the most extreme differences.

Survey Findings

Because the survey was intended to provide a broad overview of the status of special collections, rather than elucidate any single issue in depth, conclusions drawn from the data are presented as fairly broad generalizations. The survey also did not address qualitative issues, such as the levels of staffing, support, collection growth, and facilities construction that would be optimal, or even adequate, either in general terms or for any individual responding institution. The principal findings are as follows:

- The status of special collections in ARL libraries is generally positive.
- Special collections programs in the largest institutions differ significantly and consistently from other special collections programs.
- While some differences emerge between private and state institutions, a more prominent distinction is between Canadian and U.S. institutions.
- Despite the generally sound state of special collections in ARL libraries, some areas of concern remain.

Each of these findings is presented in turn, drawing on the survey data relevant to each point. The tables in Appendix 3 provide complete data for each survey question, along with explanatory annotations.

Many of the survey results may be interpreted in more than one way, and findings that appear generally positive may nevertheless raise important questions. The report's final chapter examines some of the unanswered questions and areas for further investigation.



C H A P T E R I

Positive Status

By most measures, the emerging picture of special collections is quite positive. Based on preliminary discussions and research, it would not have been surprising to encounter evidence of cut budgets; retracting collections, services, and staff; neglect of facilities; or other signs of marginalization or hardship. Happily, this does not seem to be the case. While special collections certainly are not free from pressures or immune to problems, a number of measures provide cause for optimism and reassurance about the vitality and centrality of these collections. The traits suggesting a positive characterization of special collections are discussed here, while differences that characterize special collections when libraries are compared on the basis of size and type are treated in Chapters II and III.

Collections Size and Growth

The survey clearly confirmed the extent to which special collections constitute a vast and varied resource for ARL libraries. The 99 responding academic institutions reported holding a combined total of over 18.5 million volumes in special collections and 1.3 million linear feet of manuscript holdings, with an additional half million linear feet of university archive materials. ARL libraries held among themselves some 1.8 million cartographic items, 34.6 million graphic items, and nearly 1.6 million audio items. Total holdings for some formats were likely even higher, since the survey instructions directed respondents to omit items that were “integral parts of manuscript or archival collections.”

As a gauge of the activity and general robustness of special collections programs, respondents were asked whether special collections or significant collecting programs had been established or discontinued in the previous 10 years, or whether any collections were under consideration for discontinuation at the time of the survey. Although institutions often interpreted the term “significant collecting programs” quite liberally, it is clear that the overall trend was one of growth: 77 percent reported establishing new special collections or significant collecting programs in the past 10 years. By contrast, only 22 percent of responding institutions reported discontinuation of significant collecting programs during that time (Fig. 1).

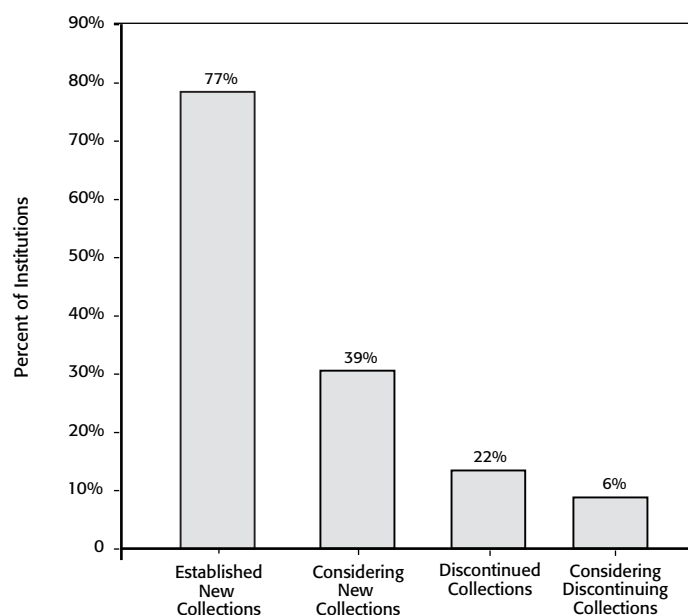
Collections were growing not only in size, but in scope, including many in less traditional subject and format areas. Appendix 4 lists and categorizes individual collections identified as newly initiated in the last 10 years, under consideration,

discontinued in the last 10 years, and under consideration for discontinuation. It was not always possible to tell whether collections consisted principally of books or archival materials. Although the list is not comprehensive and new collections vary in the extent to which they represent changes in programmatic focus, the list does identify potential trends. Alongside new collections dealing with authors and literary topics—or with state, local and regional interests, for example—were numerous collections reflecting recent scholarly trends. These included collections relating to contemporary social issues and particularly to previously underdocumented groups such as women, African Americans, and gays and lesbians. Also prominent were new collections relating to twentieth-century wars and the Cold War, folk and popular culture, journalism and broadcasting, medicine and medical history, and music.

Stable or Growing Staffing Levels

All institutions reported having professional staff devoted to special collections.⁹ Only two institutions had less than one FTE professional staff in 1996–97. Nearly all institutions additionally reported having at least one FTE support staff for

FIGURE 1: *Growth of Special Collections over Past 10 Years (n=99)*



⁹ For all questions relating to special collections staffing, the definition of “professional” staff was left to each reporting institution. This decision is consistent with the reporting conventions for *ARL Statistics*.

special collections. Only one institution reported less than one FTE, and only three reported none.

Because longitudinal data for special collections staffing have not been systematically gathered, institutions were asked to characterize trends in permanent special collections staff levels over the past 10 years (Fig. 2). Of 99 institutions, 25 percent reported a constant staffing level, and 48 percent indicated an increase. By contrast, 27 percent reported decreased staff levels. This question did not assess the adequacy of either baseline or current staff levels, explore what types of positions were added or removed, or to what extent staffing changes reflected changes in collection size, activities, and responsibilities within special collections. Data did confirm, however, that most special collections have at least not experienced a net loss of positions.

Institutions were also asked to indicate the approximate number of full- or part-time professional positions in special collections for which they expected to recruit over the next three to five years. The mean for the 94 libraries responding to this question was 1.7 positions, for a total of 163 positions. Twenty-nine institutions, or slightly less than one-third, indicated no plans to recruit for professional special collections positions in the time frame indicated; only 11 of the 94 institutions planned to recruit for more than three positions. The survey did not ask whether the positions to be filled were due to expected retirement or resignations, addition of new positions, or projected availability of special funding.

Stable or Growing Budgets

Reporting institutions averaged \$957,146 in special collections expenditures in 1996–97. On average, ARL libraries spent \$209,723 for special collections materials, \$547,936 for special collections salaries, and \$107,909 for other expenditures relating to special collections. Comparing data from the survey with total library expenditures reported in the *ARL Statistics* for 1996–97, special collections expenditures accounted on average for 4.5 percent of total library expenditures among respondents.

Because comparisons between special collections expenditures and overall library expenditures are not available for years other than the one under study, respondents were asked whether over the past 10 years expenditures for special collections as a percentage of library expenditures had generally remained constant, increased, or decreased (Fig. 3). While this question could not qualitatively assess the adequacy of support for special collections, data did suggest that most special collections have received a stable or growing portion of institutional resources. Of the 99 participating academic institutions, 38 percent reported that the percentage of special collections expenditures had remained roughly constant, while another 33 percent reported that the percentage had increased. Only 14 percent of respondents believed the percentage had decreased; the remaining 15 percent did not know or did not respond to the question.

FIGURE 2: *Change in Special Collections Permanent FTE Staff over Past 10 Years (n=99)*

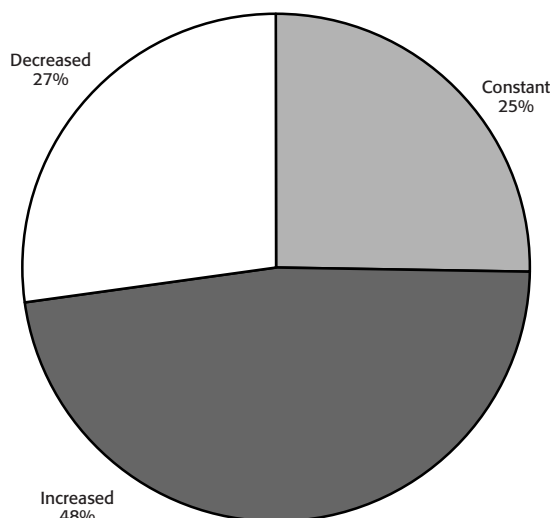
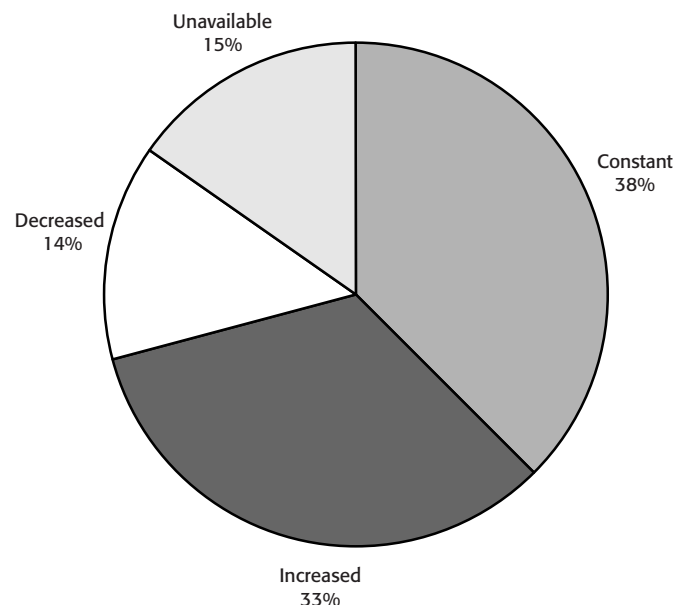


FIGURE 3: *Change in Special Collections Expenditures as Portion of Total Library Expenditures over Past 10 Years (n=99)*



Similarly, most institutions reported a trend of stable or growing support through most sources for the acquisition of special collections materials over the 10 years preceding the survey (Fig. 4). The image that emerges is one of greater resources to acquire special collections items, although the extent to which collections grew as a result of this support is less clear. Over that decade, the use of endowment funding for the acquisition of special collections materials increased at 61 percent of the institutions and remained stable at 24 percent of them. At the same time, 23 percent of institutions reported growth in the use of appropriated funds for purchase of special collections materials, and 38 percent reported stable use of appropriated funds. Only 3 percent of institutions reported that accessions made through use of endowment funds had declined over 10 years, although appropriations for materials had decreased for 23 percent of institutions. Nearly all institutions also reported that accessions through in-kind gifts and through transfers from general collections had either remained constant or increased over the past 10 years.

Facilities: Space, Safety, and Security

Nearly two-thirds of institutions (62 percent) reported that special collections facilities had been newly built or renovated in the 10 years preceding the survey. Of the 73 completed projects reported, 10 percent involved construction of a new building specifically and exclusively for special collections; 27 percent resulted in creation of new quarters for special collections within a new or existing building. In addition, 37 percent of institutions were planning to begin construction on special collections facilities within two to three years. In all, over three-quarters of respondents (77 percent) had either completed or were planning work on special collections facilities or both.

Although space for collections growth was highly problematic, most institutions reported public and staff workspace to be adequate for some or all special collections facilities. Only 20 percent said public space was inadequate, and 29 percent found staff workspace inadequate (Fig. 5).

FIGURE 4: Trends in Accession Sources for Special Collections Materials over Past 10 Years (n=99)

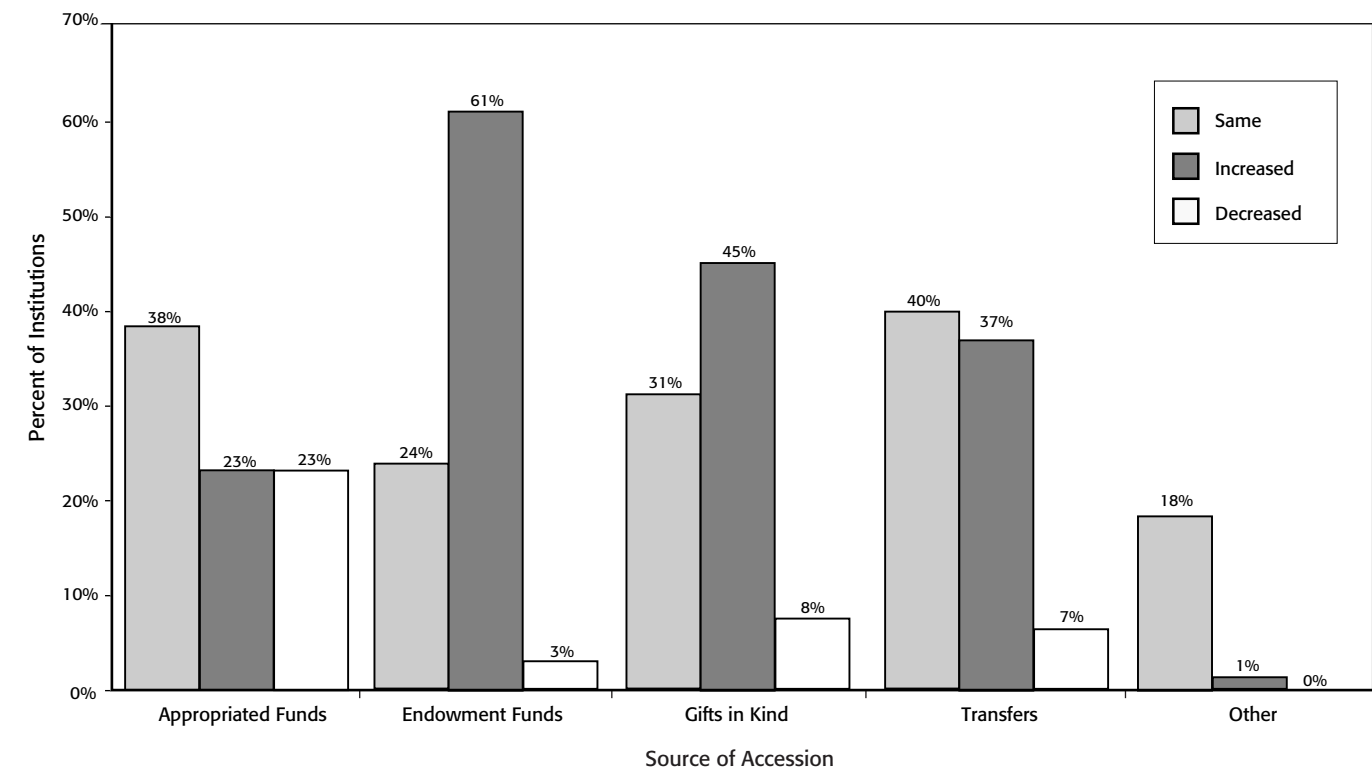
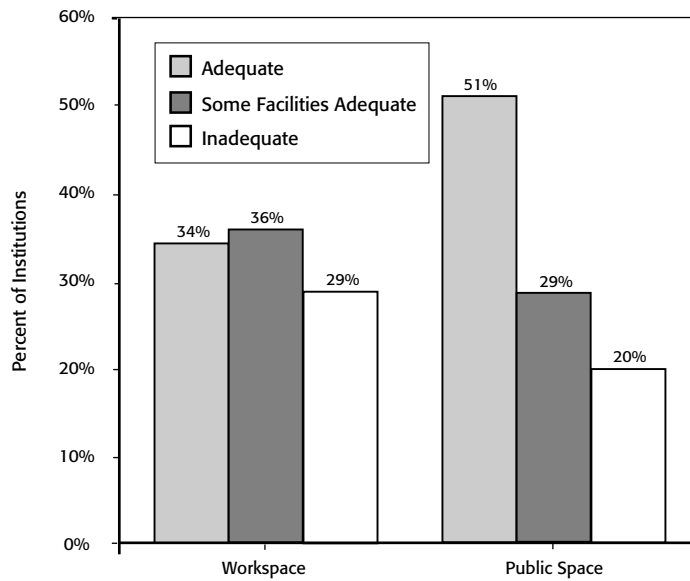


FIGURE 5: Adequacy of Special Collections Space (n=99)

Most institutions also reported high levels of physical protection for special collections. Institutions were asked to describe the safety and security features of their special collections facilities by noting whether all, most, some, or no facilities were equipped with each of the following:

- Appropriate temperature and humidity control
- Fire detection system
- Fire suppression system
- Building security system
- Magnetic or electronic theft detection system
- Electronic reading room surveillance
- Closed stacks

Only electronic surveillance systems and theft detection systems were not widely used. Otherwise, 92 percent of institutions had closed stacks, 83 percent had fire detection systems, and 81 percent had building security systems for most or all special collections facilities (Fig. 6).

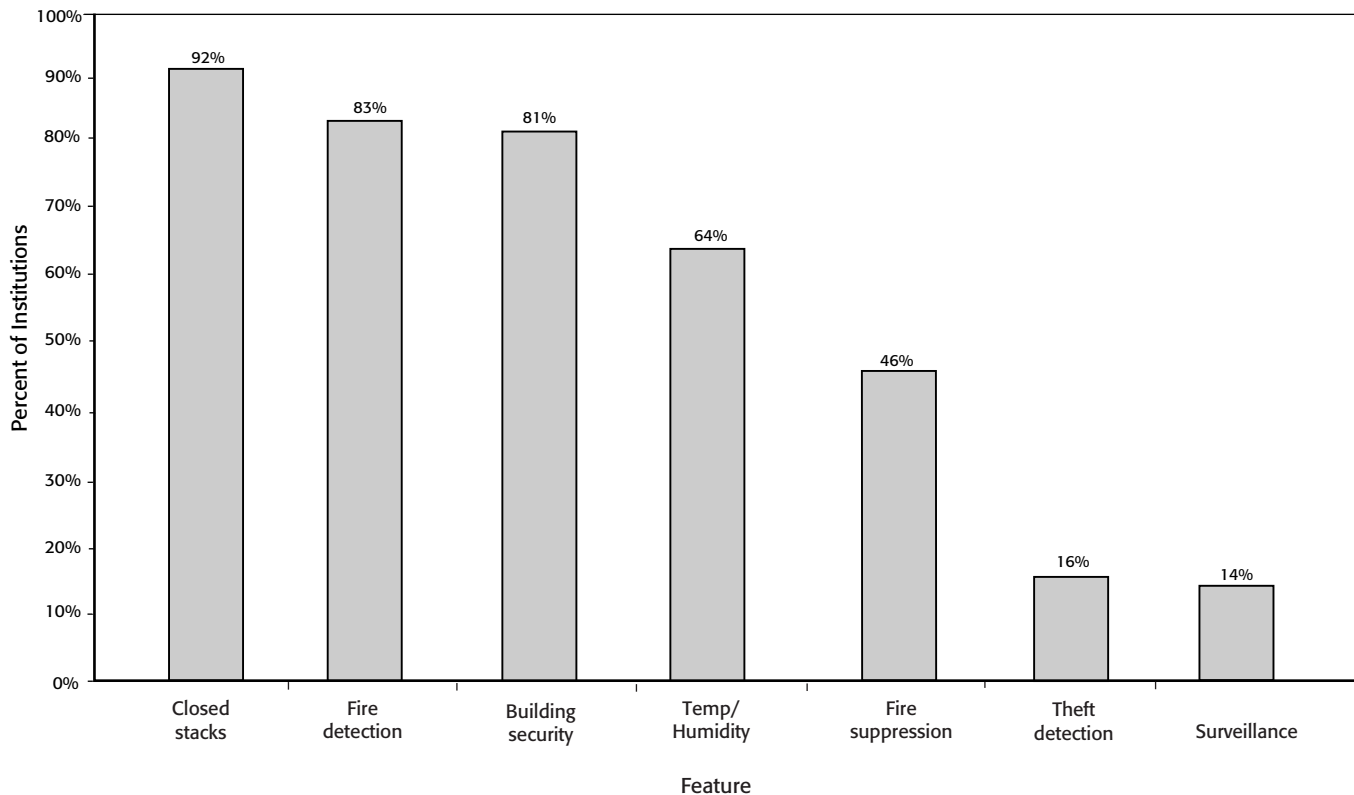
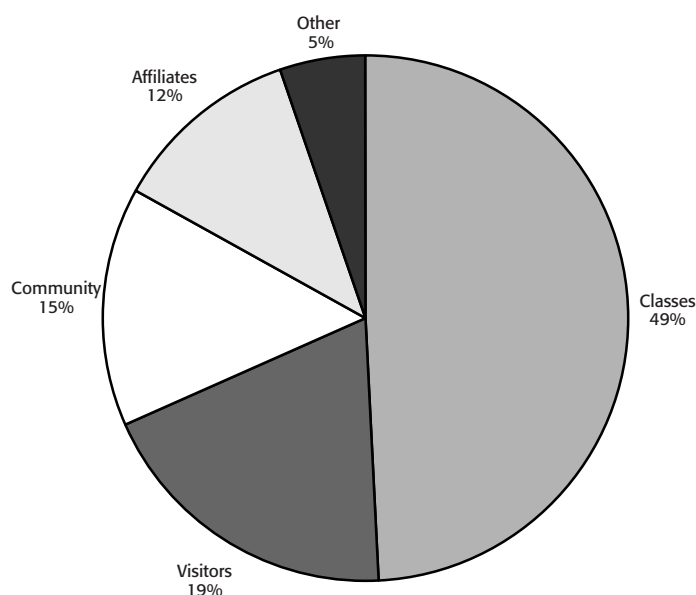
FIGURE 6: Libraries with Safety/Security Features for Most or All Special Collections Facilities (n=99)

FIGURE 7: Special Collections Presentations Made to Each Type of Audience in 1996–1997*



* Based on 5,004 total presentations reported by 81 institutions.

Levels of Use

Special collections generally reported fairly high and growing levels of both local and remote use. On average, special collections received 3,696 users in 1996–97, although this figure tells only part of the story. Because in-person visitors constitute only a part of special collections use, institutions were also asked about the approximate number of telephone, fax, mail, or email queries received by special collections during the same 1996–97 year. Eighty-two institutions provided counts, reporting a mean of 2,643 queries. Particularly encouraging was the high level of special collections use by undergraduates, who accounted for 28 percent of special collections users in 1996–97.

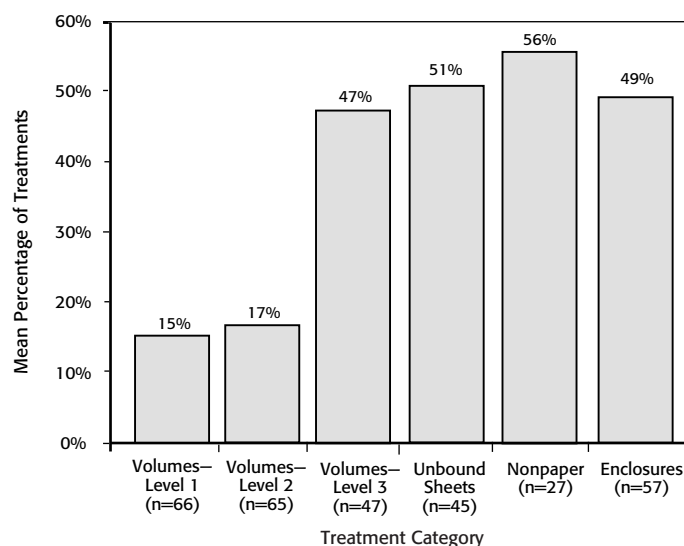
Not surprisingly, undergraduate and other academic courses also constituted most of the audiences for presentations made by special collections in 1996–97 (Fig. 7). Among 81 institutions who reported complete data about presentations, nearly half of all presentations (49 percent) were made for classes. Significant percentages were also devoted to visitors (19 percent) and local community groups (15 percent).

As one way to provide additional background, respondents were asked whether over the past 10 years the number of courses or campus programs making use of special collections had generally increased, remained the same, or decreased. Among all 99 academic institutions, 78 percent reported an increase, and 16 percent reported constant levels. Only two institutions specifically reported a decrease, another two did not know, and two did not respond.

Preservation and Conservation

Treatments of special collections materials represented a high percentage of overall preservation treatments when compared with the *ARL Preservation Statistics* for the year of the survey (Fig. 8). Special collections materials accounted for 56 percent of photo and nonpaper treatments and 51 percent of unbound materials treated, in part reflecting the likelihood that such materials were held in special collections rather than elsewhere in the library. High mean percentages for enclosures (49 percent) and for Level 3 treatments¹⁰ (47 percent) may also reflect the additional commitment to long-term maintenance of the original artifact that special collections generally demand.

FIGURE 8: Special Collections Treatments as Percentage of All Preservation Treatments*



* Excludes cases where total number of special collections treatments exceeds total number of preservation treatments as reported in *ARL Preservation Statistics 1996–1997* or where no preservation treatments were reported in *ARL Preservation Statistics*.

¹⁰ Level 3 treatments (for bound volumes) are those defined by ARL as requiring two hours or more to complete.

Conversely, Level 1 and Level 2 treatments—often cost-effective ways to ensure the longevity of circulating general collections—exhibited much lower percentages of activity devoted to special collections.

In one of the few subjective measures called for in the survey, institutions were asked to assess their preservation and conservation programs with regard to both special and general collections. For each type of collection, respondents used a three-point scale (making progress, holding steady, or losing ground) to describe the library's programs for preventive care, reformatting of paper-based materials, reformatting of other materials, and conservation/repair activities. Libraries were instructed to use "not applicable" if a particular activity was not part of the institution's preservation program. Most respondents clearly indicated that their institution was either making progress or holding steady in two key areas (Fig. 9). For preventive care, 46 percent felt they were making progress and 42 percent were holding steady; for conservation activities, 42 percent reported making progress and 35 percent were

holding steady. Twenty percent or less of institutions specifically reported losing ground in any of the four areas.

At the same time, achievement in the preservation of special collections materials did not seem necessarily to come at the expense of general collections. Reported perceptions of special and general collections progress were roughly similar for most institutions, although preventive and repair activities may favor special collections (Fig. 10). Forty-six percent of institutions reported making progress in preventive care of special collections, as opposed to only 27 percent for general collections. Similarly, 42 percent reported progress in special collections conservation/repair activities, compared with 25 percent for general collections. Unavailable responses relating to general collections may account for some of the difference. "Not applicable" responses also were difficult to interpret. The very high response rate in this category (37 percent) for reformatting of nonpaper items in the general collections may again be due to gaps in preservation programming, or it may be that large collections of these types of materials were not, in fact, housed among general collections.

FIGURE 9: *Perceived Effectiveness of Preservation/Conservation Programs for Special Collections (n=99)*

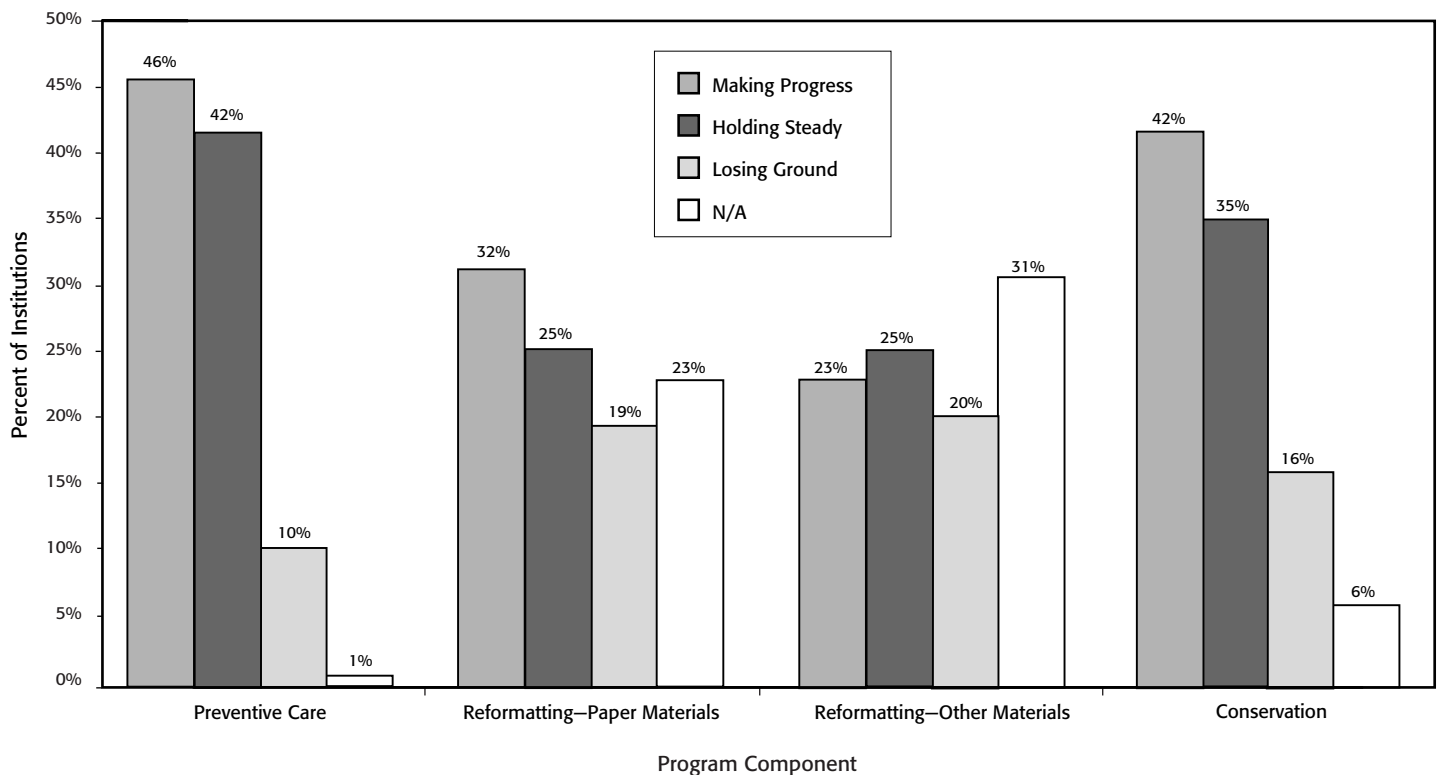
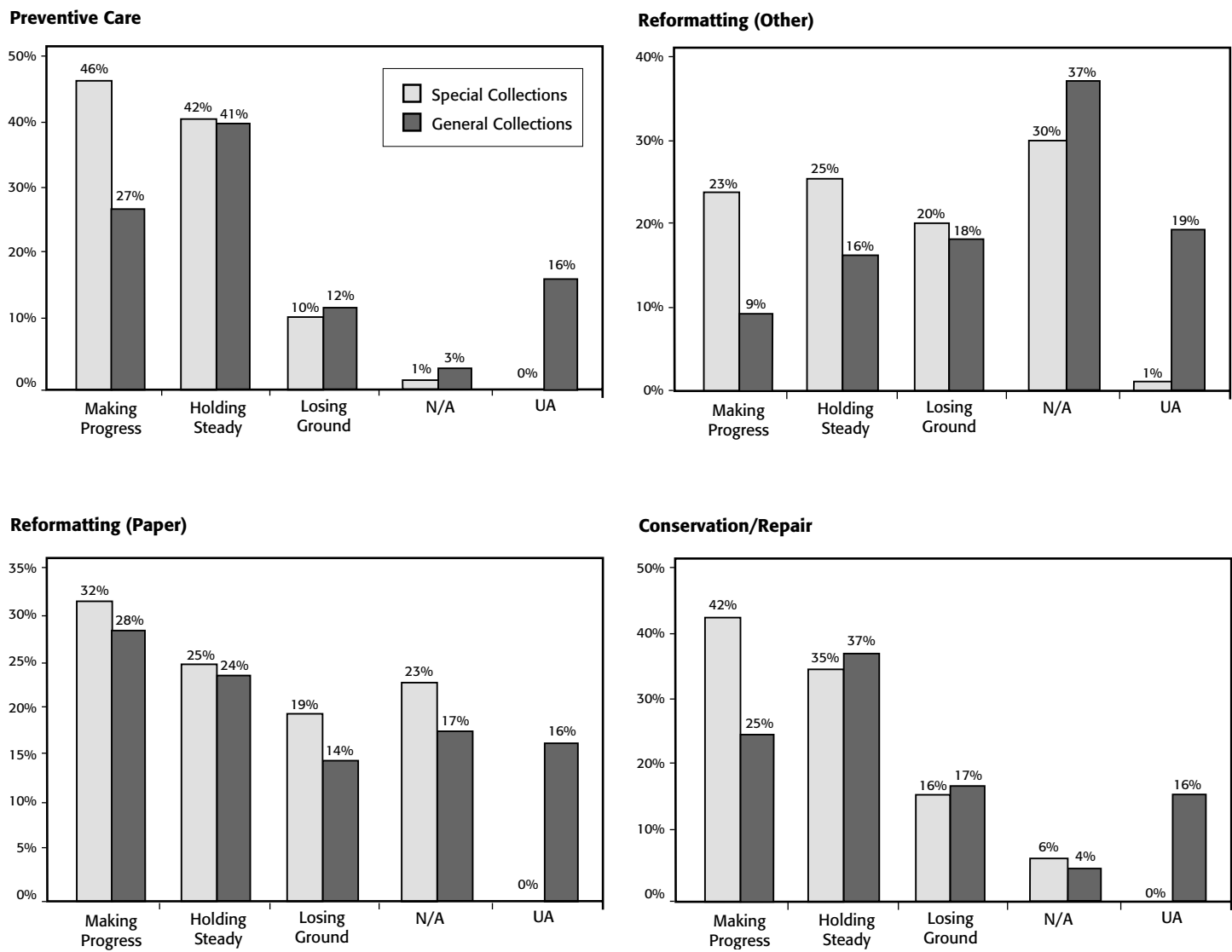


FIGURE 10: Perceived Effectiveness of Special and General Collections Preservation Programs (n=99)





Distinctive Profile of the Largest Institutions

Survey developers expected to find that larger institutions had larger special collections with correspondingly greater staff and budget resources and potentially greater levels of certain types of activity. What was unexpected, however, was the extent to which this was true and characterized nearly all topics considered during the survey.

As a way of comparing like institutions, all 99 participants were grouped on the basis of total collection size in 1996–97. This classification was considered more accurate and more useful for benchmarking purposes than groupings based on special collections holdings. Assignments were made as follows:

- Group 1 Over 5 million volumes (18 institutions)
- Group 2 3–5 million volumes (21 institutions)
- Group 3 2–3 million volumes (46 institutions)
- Group 4 Fewer than 2 million volumes (14 institutions)

For many questions, if not most, differences among institutions appear strongly correlated with size. However, a large gap tended to separate Group 1 from Group 2 libraries, with much smaller

differences among Groups 2, 3, and 4. Emerging from the data, therefore, is a special collections universe in which Group 1 libraries stand distinctly apart from other institutions.

It should be emphasized that attention to these differences in no way represents an attempt to correlate quality with size. Many smaller institutions hold exceptional special collections and evidence a strong commitment to the development and stewardship of these collections. Conversely, some individual larger institutions may be making less of an investment in their special collections. Overall trends, however, do raise important questions about the varying role and mission of special collections in institutions of different size and the potential contributions of various institutions in cooperative or coordinated programming.

Nearly every survey question revealed significant differences between the largest institutions and the others. Most telling were those relating to the key variables of collection, staff, and expenditures. Figure 11 provides an overall snapshot. It was derived by comparing the mean for each size-based group for each of four measures (collection size-volumes; collection size-manuscripts; FTE staff; and expenditures) with the overall mean for all responding libraries. In almost all cases, means for

FIGURE 11: Comparison of Key Special Collections Measures to Overall Mean (Mean=1.00) on Basis of Institution Size

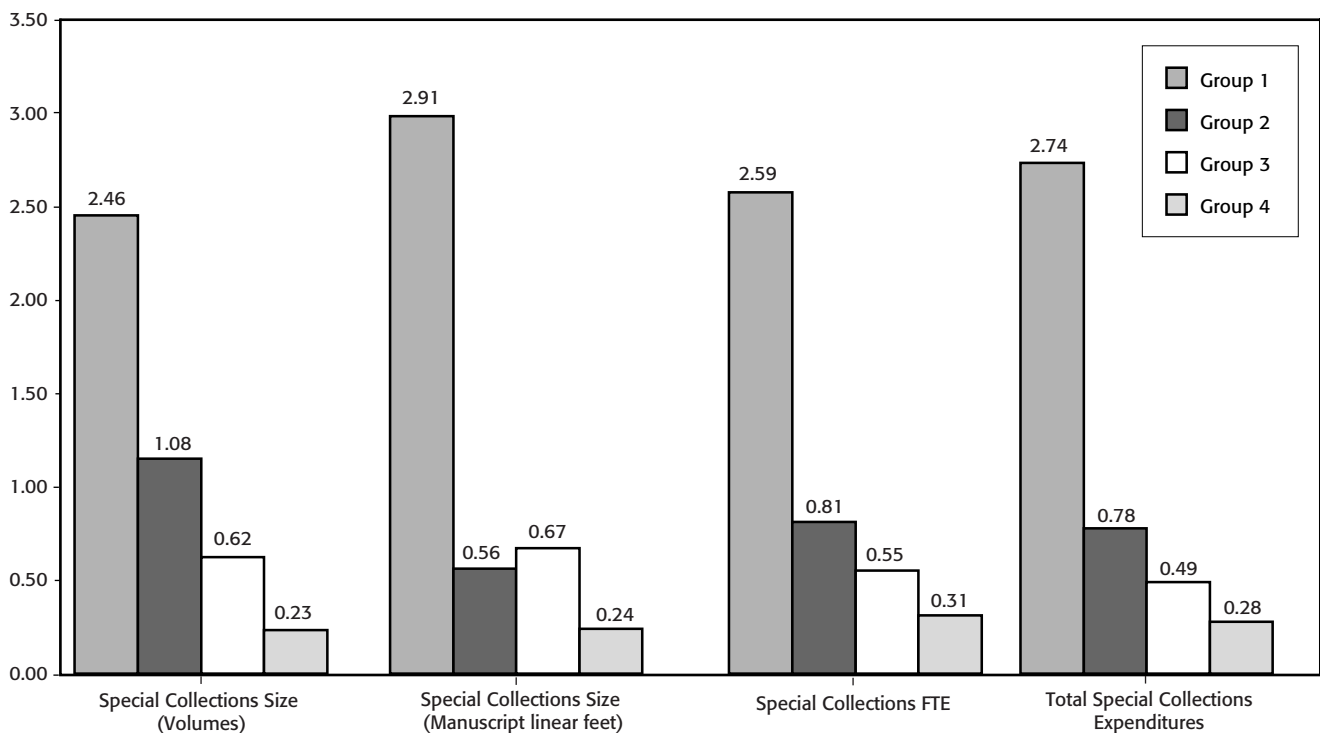
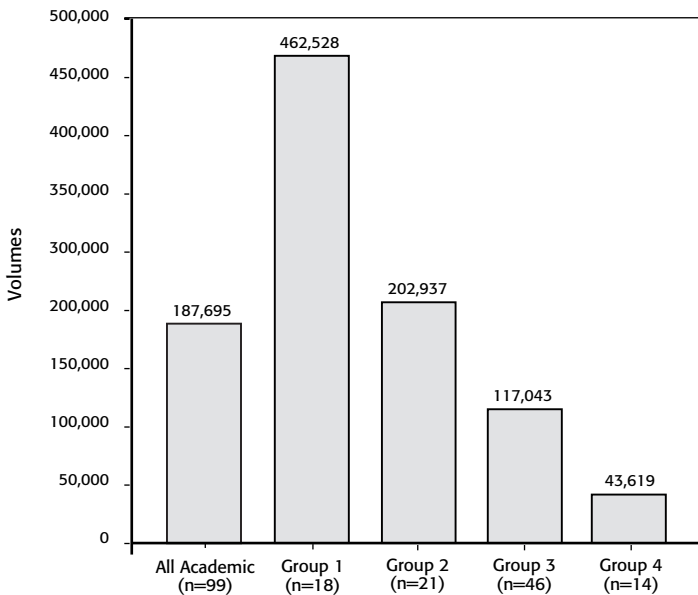


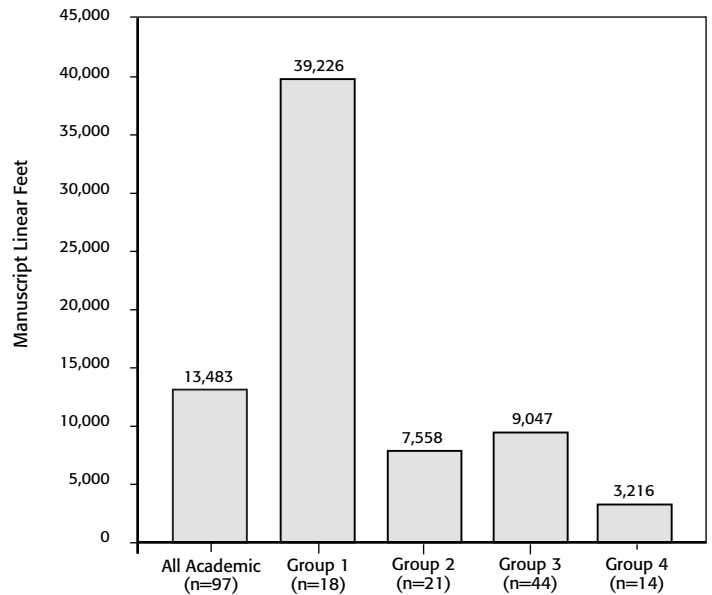
FIGURE 12: Mean Special Collections Size (Volumes) by Institution Size

Group 1 institutions were 2.5 to 3 times greater than the combined average. A sharp drop-off distinguished Group 1 institutions from the others, with Group 4 institutions in particular far below the mean.

Collection Size

For all types of special collections materials, a pronounced concentration of holdings occurred among the Group 1 libraries. The marked difference between Group 1 and other institutions was sustained across other measures addressed by the survey and may in part be predictive of them. This discussion focuses on volumes and manuscript holdings, since the data corresponding to these formats were most complete.

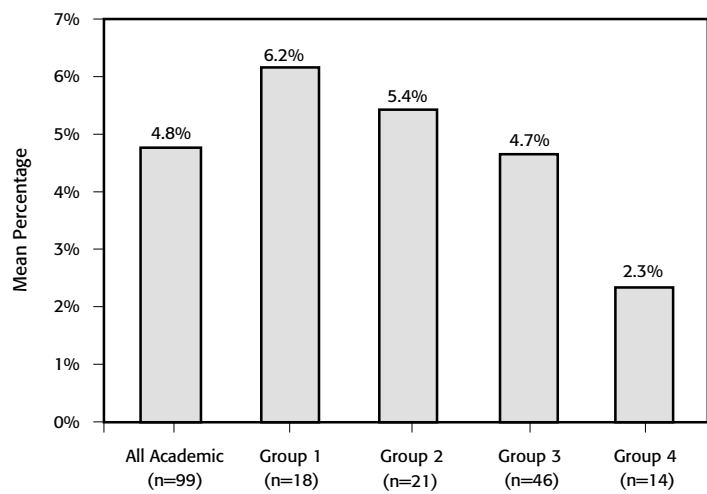
While the mean collection size in volumes for all ARL libraries was 187,695, the mean for Group 1 institutions was nearly 2.5 times greater and was more than twice that of Group 2 institutions (Fig. 12). Of the 10 largest special collections in terms of volume count, eight were Group 1 institutions, including two institutions with special collections holdings exceeding 1 million volumes. The Group 1 libraries also held among themselves a reported 8,325,506 volumes, or 35 percent of the total volumes reported for this question by all academic libraries.

FIGURE 13: Mean Special Collections Size (Manuscript Linear Feet) by Institution Size

Group-based differentials for manuscript holdings were even more pronounced (Fig. 13). The Group 1 mean (39,226 linear ft.) was nearly three times the mean for all libraries together, over five times that for Group 2 institutions, and almost 7 times that for Group 4 institutions. To some degree, this difference is attributable to the existence of a few extremely large collections. As with special collections volumes, eight of the 10 largest manuscript collections were held by Group 1 institutions, including three Group 1 institutions with more than 70,000 linear feet each. Even when these three institutions are excluded from calculation, the Group 1 mean remains 21,709 linear feet, significantly greater than any other group. Among themselves, the Group 1 institutions accounted for 54 percent of the total manuscripts holdings reported for this question.

Finally, the largest libraries tended to have not only larger special collections in absolute terms, but those special collections constituted on the whole a larger percentage of institutional holdings. This comparison is meaningful primarily for volume counts (Fig. 14) since statistics for other formats were less frequently reported and were more likely to exclude significant collections or portions of collections. When special collections volumes—as reported in the survey response—were expressed as a percentage of total institutional holdings—as reported in *ARL Statistics 1996–97*—the mean for all academic libraries was 4.8 percent. The mean for the largest libraries was 6.2 percent, decreasing by group to 2.3 percent among Group 4 institutions.

FIGURE 14: Special Collections Volumes as Percentage of All Volumes Held by Institution Size



Collection Growth and Development

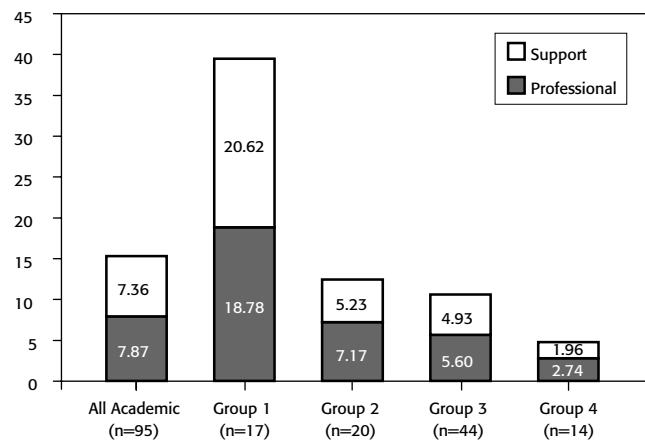
Larger institutions—those in both Group 1 and Group 2—were more likely than smaller institutions to have established new special collections or collecting programs in the 10 years preceding the survey. Among Group 1 libraries, 89 percent responded that they had established such collections, as did 90 percent of Group 2 libraries. By contrast, only 74 percent of Group 3 and 50 percent of Group 4 libraries reported this sort of growth. At the same time, larger libraries were also slightly more likely to have discontinued significant collecting programs during this period. Twenty-eight percent of Group 1 and 33 percent of Group 2 libraries had discontinued programs, contrasted with 15 percent of Group 3 and 21 percent of Group 4 institutions.

Larger institutions were also more likely to participate in cooperative collection development arrangements for special collections and address special collections in librarywide collection development policies. At the same time, it was smaller institutions that were more likely to report the existence of a formal collection development policy specifically for special collections.

Staffing Levels

Group 1 institutions tended to have significantly higher levels of professional and support staff than smaller institutions (Fig. 15). The mean staff level—professional plus support, including both grant-funded and permanent staff—for Group 1

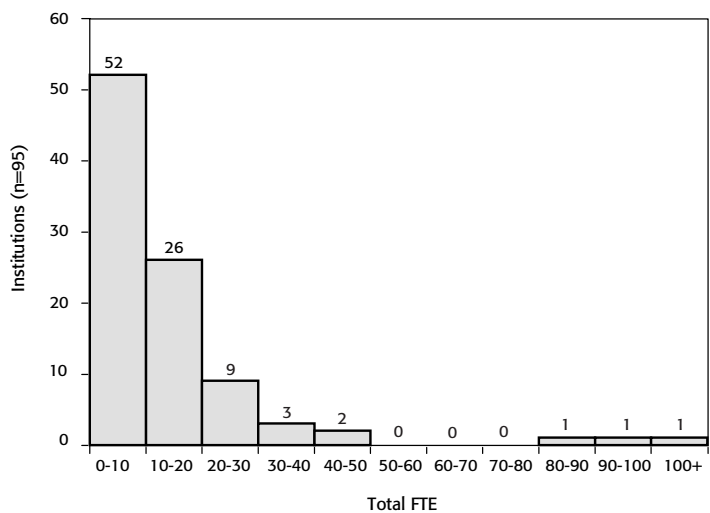
FIGURE 15: Mean Special Collections FTE Staff by Institution Size*



* Includes only institutions for which both professional and support FTE staff figures are available.

libraries was 39.40 FTE staff, more than twice the overall average (15.23 FTE staff) and more than three times the average for Group 2 institutions (12.39 FTE staff). This difference is due in part to three Group 1 libraries with substantially higher staffing levels in both professional and support staff categories than other respondents (Fig. 16). Even when these three institutions were eliminated from calculations, however, the Group 1 mean for professional plus support staff remained

FIGURE 16: Distribution of Special Collections Staff



23.41 FTE staff, nearly twice the recalculated overall mean of 12.01 FTE staff. Although grant-funded staff in general constituted only a small percentage of total special collections staff, Group 1 institutions employed higher numbers of both grant and permanent staff on average than did smaller institutions.

These findings correlate generally with data about collection size. Group 1 institutions, which tended to have larger special collections, also had higher levels of associated staff. Moreover, just as larger institutions concentrated a higher percentage of volumes holdings in special collections, so did they report a higher percentage of total library staff devoted to special collections. Figure 17 was derived by comparing special collections staffing, as reported through the survey, with overall library staffing, as reported in *ARL Statistics 1996–97*. While among all academic institutions, special collections staff represented on average 5.7 percent of library FTE staff, this percentage was considerably greater for Group 1 libraries (8.4 percent).

Another factor leading to both higher absolute and proportional staffing levels in larger institutions may be the frequent distribution of large special collections across multiple units or even multiple buildings. While not specifically addressed through survey questions, the notes, comments and organization charts submitted with responses support this conjecture.

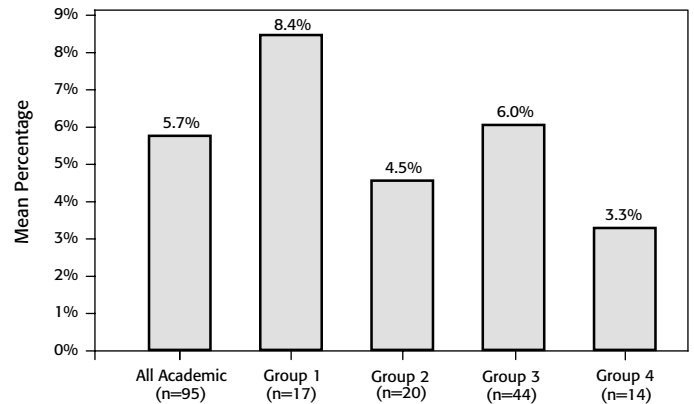
Although Group 1 institutions tended to have more special collections staff than smaller libraries, they were not necessarily the most likely to have gained staff (Fig. 18). When asked about general trends in the number of permanent special collections staff over the past 10 years, 47 percent of all respondents reported an increase, compared with only 28 percent of Group 1 libraries. Over half of Group 2 and Group 3 institutions, by contrast, reported having gained special collections positions. At the same time, the largest and smallest institutions were the most likely to have experienced a decrease in permanent staff (33 percent of Group 1 libraries and 36 percent of Group 4).

Total Expenditures

Expenditures for special collections appear strongly correlated to institution size and therefore to size of special collections holdings and staff, among other variables. In 1996–97, the mean institutional expenditure for special collections was \$957,146 (Fig. 19). Group 1 libraries spent, on average, nearly three times that amount (\$2,626,534). The Group 1 mean was over 3.5 times that for Group 2 libraries. Average Group 4 mean expenditures (\$264,451) amounted to just one-tenth of the mean for Group 1.

As with size and staffing, the high Group 1 expenditure mean is due in part to significant outlying values (Fig. 20). All seven of the institutions with special collections expenditures over

FIGURE 17: Mean Special Collections FTE Staff as Percentage of Total Library FTE Staff by Institution Size



\$2 million and nine of the 10 with expenditures over \$1.5 million were Group 1 libraries. These high-expenditure levels among a few large institutions tend also to inflate the overall mean for special collections expenditure and may give a distorted picture of actual levels. When the seven cases over \$2 million were excluded from calculations, for example, the mean special collections expenditure for academic libraries dropped from \$957,146 to \$562,883.

As with other statistical categories, size-based differentials emerged when special collections data were correlated with the library-wide data reported in *ARL Statistics 1996–97*. When total expenditures for special collections were expressed as a percentage of the corresponding institutional figures, Group 1 institutions seemed to claim not only more resources in absolute terms, but also a larger share of institutional resources (Fig. 21). For Group 1 institutions, special collections expenditures accounted for 8.2 percent of total library expenditures. These figures decreased to 3.7 percent and 3.6 percent for Groups 2 and 3, respectively, and to 2.8 percent for Group 4 institutions.

Funding Sources

When total expenditures were considered by source of funds, a clear pattern emerged based on institution size (Fig. 22). Larger institutions seemed to rely more heavily on endowment funds and less on appropriations to support special collections. Among Group 1 institutions, 20.2 percent of total special collections expenditures in 1996–97 came from endowed funds, while 69 percent came from appropriations. In contrast, the overall

FIGURE 18: Trends in Number of Special Collections Permanent FTE Staff over Past 10 Years by Institution Size

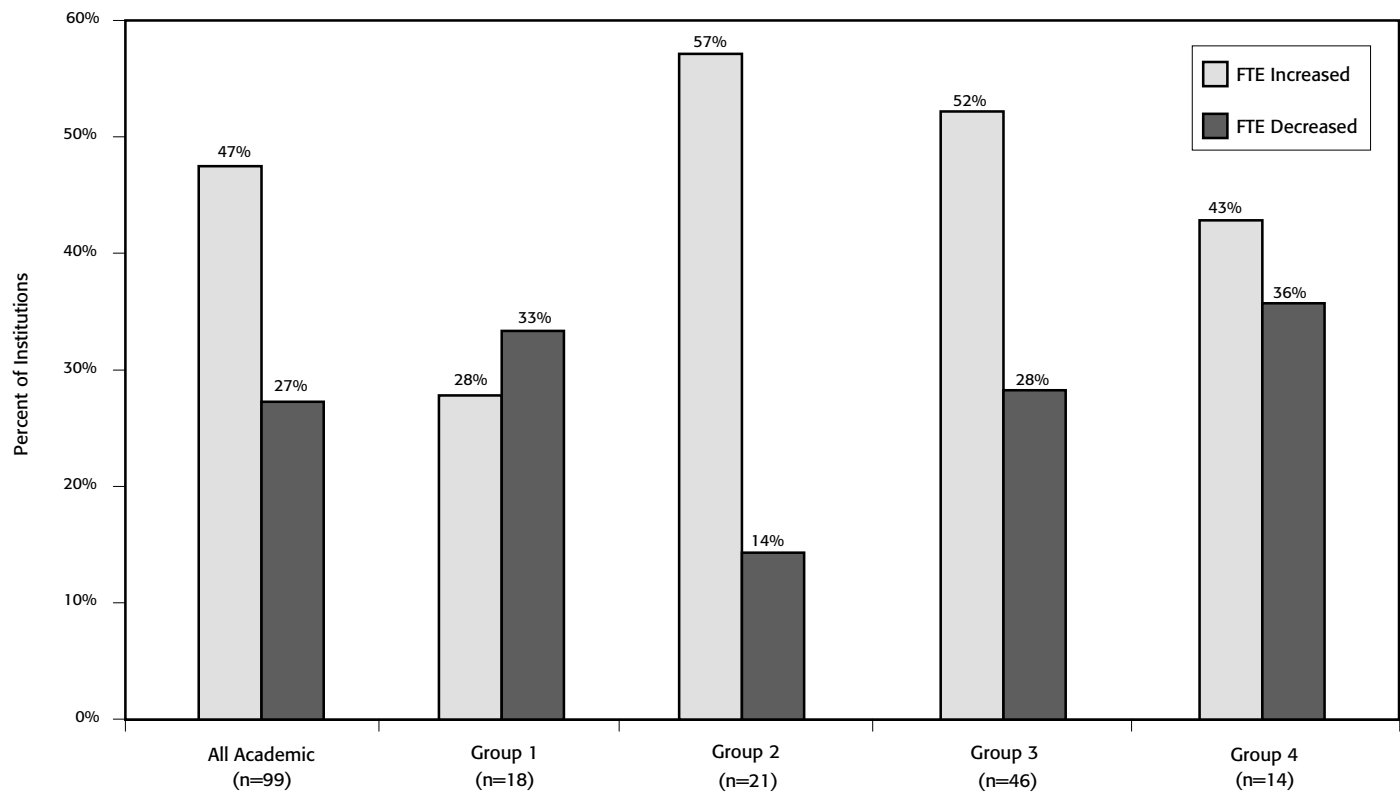


FIGURE 19: Mean Total Expenditures for Special Collections by Institution Size

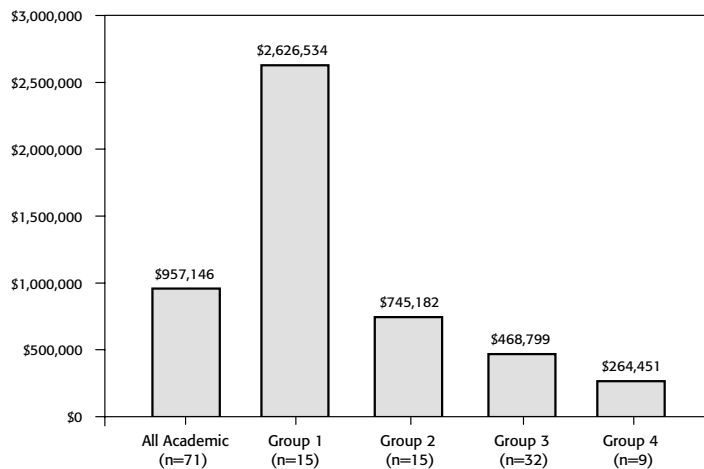


FIGURE 20: Distribution of Total Expenditures for Special Collections

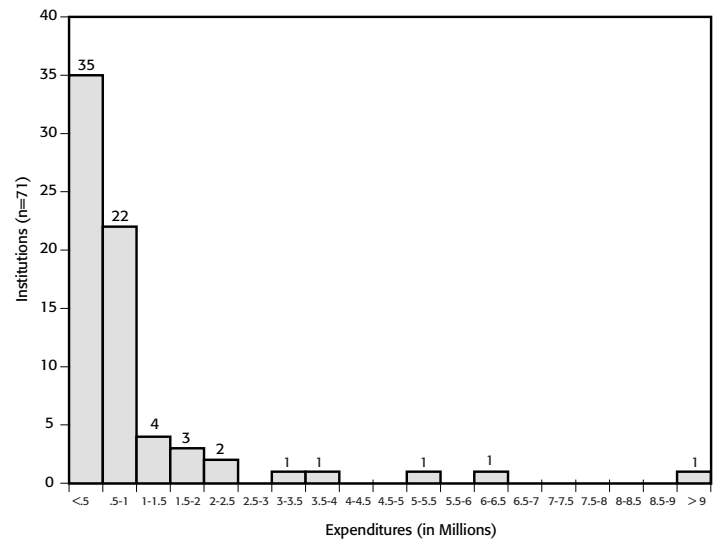
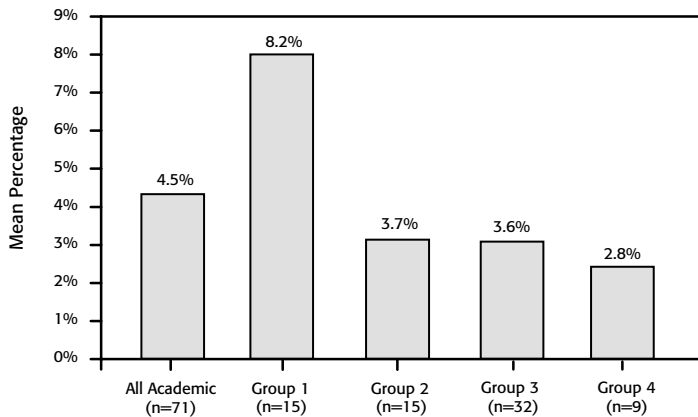


FIGURE 21: *Total Special Collections Expenditures as Percentage of Total Library Expenditures by Institution Size*



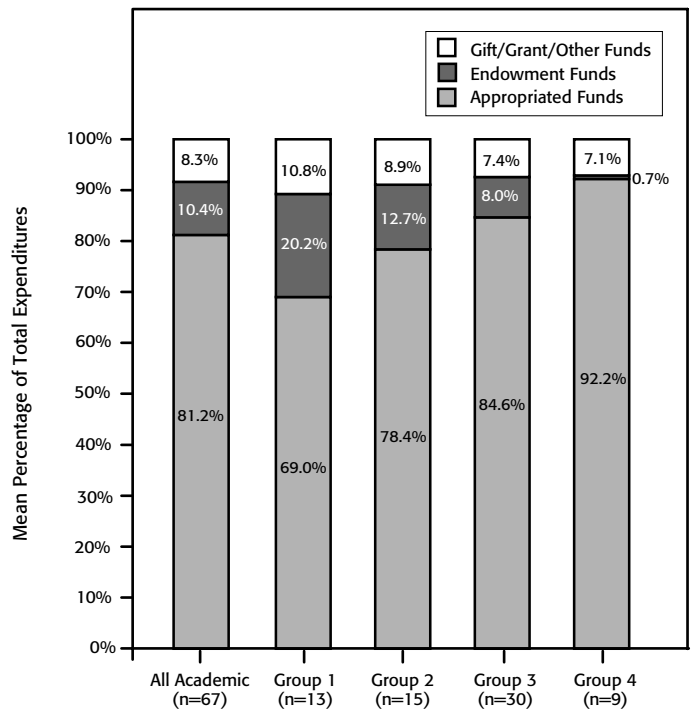
means were 10.4 percent from endowments and 81.2 percent from appropriations. The smallest institutions—those in Group 4—reported on average virtually no special collections expenditures from endowments.

These differences translate also into a heavier reliance on appropriated funds for materials accessions among smaller libraries, while larger institutions acquired larger percentages of their special collections through endowment-funded purchases (Fig. 23). For Group 1 institutions, for example, volumes purchased through expenditure of endowment funds accounted for 35.8 percent of all acquisitions in 1996–97, while for Group 4 institutions, the percentage was 9.7 percent. Conversely, 49.9 percent of volumes in Group 4 libraries were purchased with appropriated funds, compared with 26.4 percent for Group 1 libraries. Materials acquired as gifts—particularly manuscripts materials—made up a substantial percentage of accessions in institutions of all sizes.

Expenditure Categories

Differences related to institutional size also characterized the way the total 1996–97 special collections budget was allocated (Fig. 24). Interestingly, while salaries predictably accounted for the largest single expenditure within any category- or size-based grouping, there was noticeable variation in the extent to which this was true. While Group 1 institutions allocated on average 65 percent of their special collections budgets to salaries, the percentage rose to 83 percent for the smallest institutions. Consequently, a much higher percentage of total expenditures at the largest institutions was devoted to materials accessions

FIGURE 22: *Sources of Special Collections Expenditures by Institution Size*



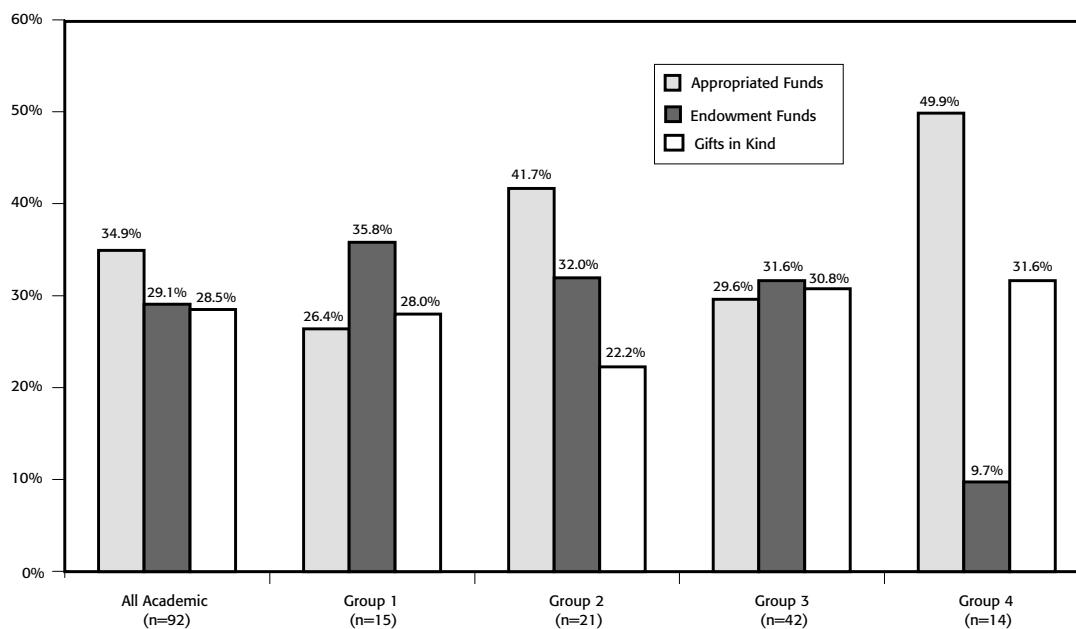
(23 percent of Group 1 libraries, as compared with only 9 percent of Group 4 institutions). Given the already higher expenditure levels in the largest libraries, this difference translates into a significant variation in actual dollars spent.

Organization/Administration

Larger institutions were more likely to have groups external to the library, such as faculty committees or boards, with specific governance or advisory responsibilities regarding special collections. Of the 99 responding academic libraries, only 35 percent reported the existence of such a group or groups. Of the Group 1 libraries, 56 percent reported the existence of such groups, as did 43 percent of Group 2 libraries. The percentage dropped to 30 percent of Group 3, and only 14 percent of Group 4 institutions.

Larger institutions were also more likely to have a library development officer. When asked who has principal responsibility for fundraising and for other development activities, only 8 percent of Group 1 institutions reported that the category of Library Development Officer/Department was not applicable. This percentage rose to 14 percent of Group 2; 35 percent of Group 3;

FIGURE 23: *Percentage of Special Collections Volumes Acquired through Each Source in 1996–1997 by Institution Size*



Percentage of Special Collections Manuscripts Acquired through Each Source in 1996–1997 by Institution Size

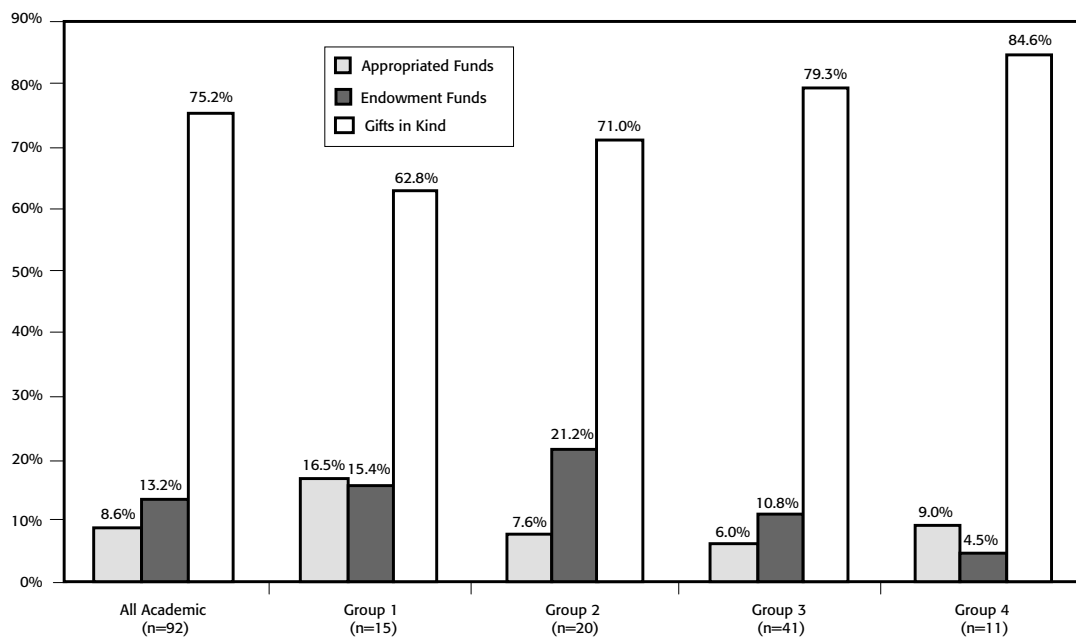
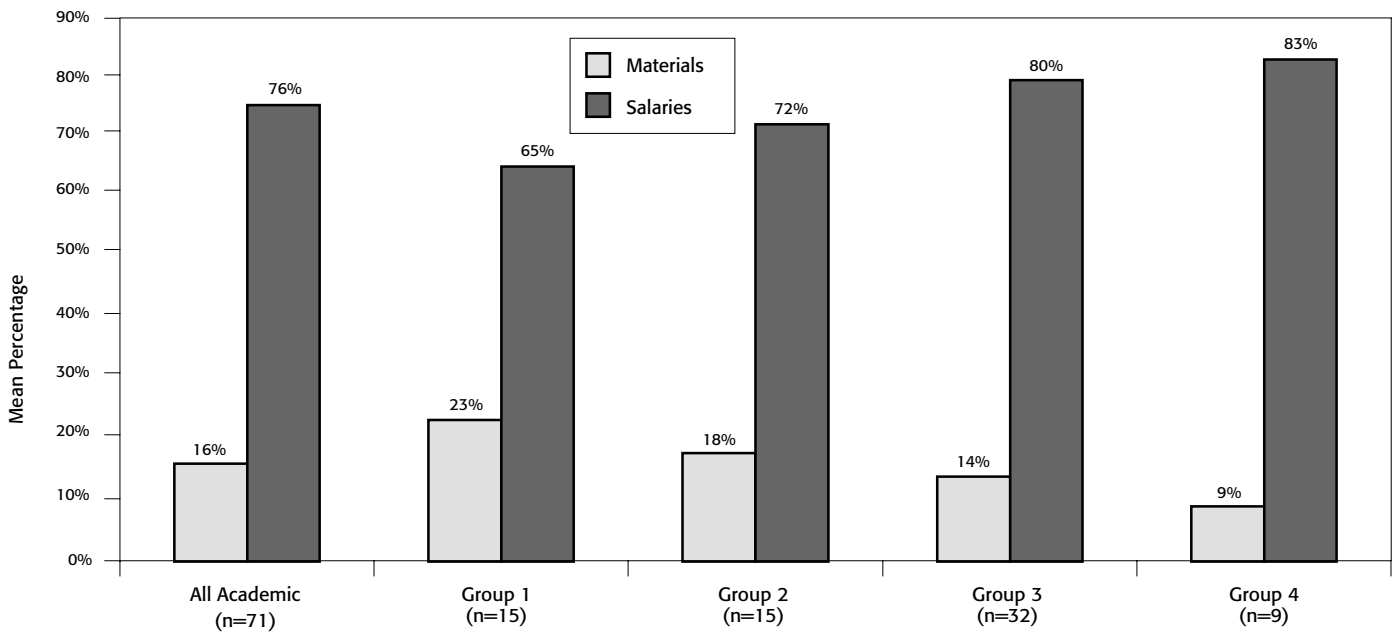


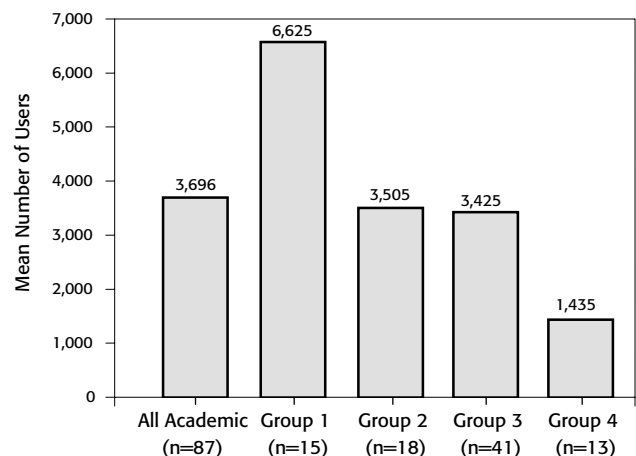
FIGURE 24: Mean Allocation of Special Collections Expenditures by Institution Size

and 36 percent of Group 4. Only two institutions—both in Group 1—reported having a development office or officer devoted specifically to special collections.

Facilities

Larger institutions were more likely to have built or renovated special collections facilities in the 10 years preceding the survey. While 62 percent of institutions overall had completed such construction, the percentage rose to 72 percent for Group 1 libraries. Similarly, while 37 percent of institutions overall were planning construction on new special collections facilities within two to three years after the survey, 61 percent of Group 1 institutions had such plans. Interestingly, although percentages were lower for Groups 2 and 3, 50 percent of Group 4 institutions were also planning construction in the following two to three years.

Among Group 1 libraries, the state of existing facilities seemed much more variable than in smaller institutions. When asked whether all, most, some, or no special collections facilities were

FIGURE 25: Mean Onsite Special Collections Users by Institution Size*

* Excludes two institutions reporting over 85,000 users each.

equipped with a variety of safety and security features, Group 1 institutions were more likely than smaller institutions to have indicated “most” rather than “all” facilities for features such as temperature and humidity control, fire detection, and fire suppression. This may reflect the more frequent distribution of large collections among several separate physical facilities, with varying features at different locations.

Similarly, when asked whether public and staff space was adequate, adequate for some areas or units only, or inadequate, the largest libraries displayed greater variability in their responses. Group 1 institutions were far more likely than average to indicate that only some workspaces and some public spaces were adequate, again a likely reflection of distributed collections occupying multiple facilities.

Use and Users

Larger institutions, not surprisingly, reported higher numbers of special collections users (Fig. 25). The mean for Group 1 institutions (6,625) was nearly twice the overall average (3,696) and 4.5 times the mean for Group 4 institutions (1,435). Interestingly, the mean number of undergraduate users remained remarkably stable among Group 1, 2, and 3 libraries (1,115; 1,027; and 1,035, respectively), despite differences in total number of users.

Because onsite use represents only a portion of special collections activity, institutions were asked to report the number of telephone, fax, mail, or email queries received by special collections in 1996–97. The overall mean was 2,643, with Group 1 institutions reporting nearly twice that (5,049) and Group 4 institutions only about one-fourth the overall mean (560).

Group 1 institutions also conducted a far greater number of lectures, presentations, and tours than did smaller institutions. For all respondents, the mean number of such presentations was 88 in 1996–97. The mean for Group 1 libraries was twice this (175), with the number decreasing for each of the next smaller groups.

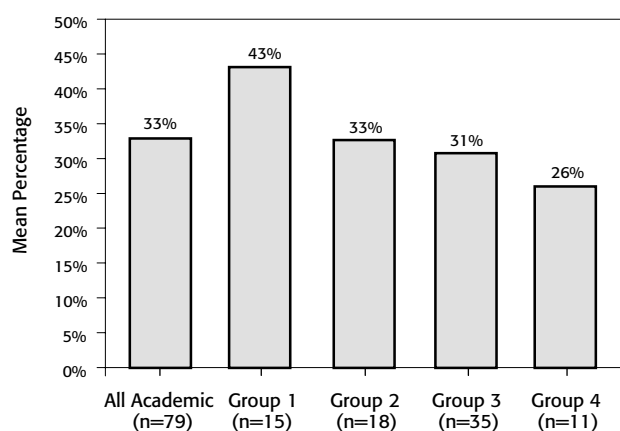
Larger institutions also more frequently reported making grants or funding awards to support visiting researchers. Fifty-six percent of Group 1 libraries made such awards in 1996–97. Among Group 2 libraries, only 19 percent had such a program in place, although another 19 percent planned to make grants or provide funding in the future.

Preservation and Conservation

It was difficult to determine a correlation between institution size and the number of preservation/conservation treatments performed, in part because of apparent confusion about the treatment categories used in the survey.¹¹ Other variables nevertheless indicated size-based differences among programs. For example, Group 1 institutions reported more conservation and repair staff devoted to special collections than smaller institutions. While for all institutions, the means were 0.56 FTE professional conservator staff and 0.62 FTE for other conservation and treatment staff, Group 1 means were more than twice that amount (1.68 FTE professional and 1.71 FTE other staff). Similarly, larger institutions reported that a greater percentage of their available treatment and repair staff were devoted to special collections (Fig. 26). For Group 1 institutions, 43 percent of all available professional and support FTE staff were devoted to special collections, compared with 33 percent overall and a mean of 26 percent among Group 4 libraries.

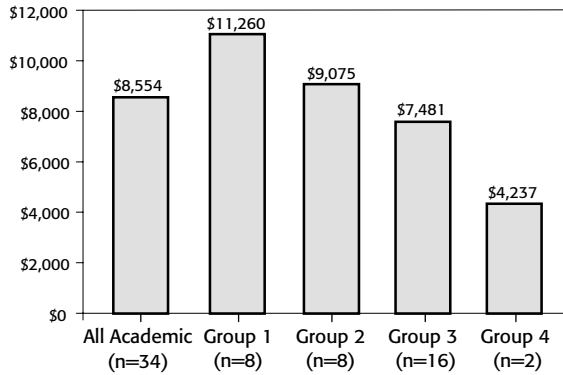
Few institutions reported using contract conservation services for special collections (20 institutions left this question blank; an additional 44 reported a zero amount of contract conservation expenditures for special collections in 1996–97). Among

FIGURE 26: Special Collection Conservation and Repair FTE Staff as Percentage of all Library Conservation and Repair FTE Staff by Institution Size



¹¹ Although the categories were the same as those used for the annual *ARL Preservation Statistics*, the same individuals did not necessarily respond to the special collections survey.

FIGURE 27: Mean Contract Conservation Expenditures for Special Collections Materials by Institution Size*



* Excludes values of \$0 and one extremely high outlying value (Group 3).

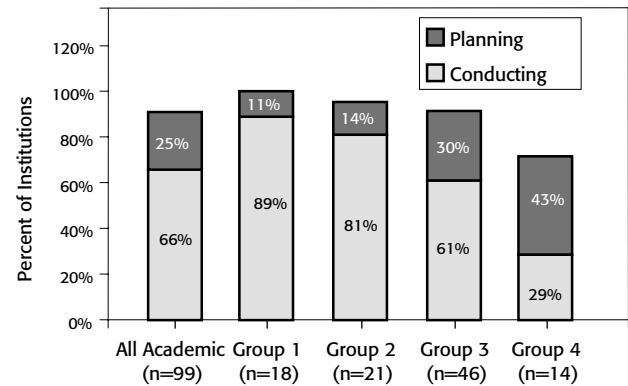
the remaining institutions, however, expenditure levels correlated generally with institution size (Fig. 27).

Larger institutions were somewhat more likely than smaller ones to be addressing the issue of preserving electronic records. Only 44 percent of Group 1 libraries reported that these records were not being addressed, compared with 52 percent and 54 percent of Group 2 and 3 institutions, respectively, and 71 percent of Group 4 institutions.

Digitization

While interest in digitization projects was high and widespread, some disparities nevertheless remained. Most notably, smaller institutions were much less likely to have undertaken this sort of initiative (Fig. 28). Among the Group 1 institutions, 89 percent

FIGURE 28: Libraries Conducting or Planning Digitization Projects Involving Special Collections Materials by Institution Size



were already conducting digitization projects, and the remaining 11 percent were planning projects. Among smaller libraries, however, the percentage of institutions engaged with special collections digitization projects decreased. Among Group 4 institutions, only 29 percent reported conducting digitization projects, with another 43 percent in planning phases. The remaining 29 percent reported no activity in this area. While it is certain that percentages have changed since the time of the survey, the difference is still substantial and may represent the significant staff and financial resources that such projects demand.

Smaller institutions were also somewhat less likely to have a website for special collections. Of Group 4 institutions, 79 percent maintained such a site, compared with 94 percent of institutions overall and 100 percent of Group 1 libraries.



C H A P T E R I I I

Distinctive Profile of Canadian Institutions

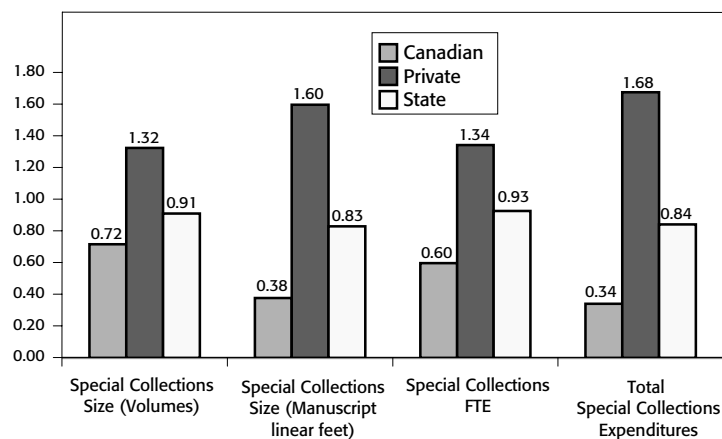
During the analysis of survey data, institutions were grouped for comparison on the basis of the categories Canadian, U.S. private, and U.S. state. Survey developers expected to find differences—particularly, between private and state institutions—and, in fact, several such differences did emerge. A more pronounced trend, however, was the gap between Canadian and U.S. institutions for a number of measures. Figure 29 compares the mean for each type of library to the overall mean for all responding libraries in four key areas, highlighting some of the major differences. For measures of special collections size (both volumes and manuscript linear feet), staffing levels, and total expenditures, private institutions exceeded the mean substantially, while Canadian institutions were far below it.

Collections

Although differences in collection size were less pronounced when institutions were compared on the basis of type rather than size, some distinctions remained. For example, the mean number of volumes held by private institutions (248,218) was 1.46 times that for state institutions and 1.85 times that for Canadian libraries (Fig. 30). The differential was greater for manuscript holdings (Fig. 31) and for nontraditional formats such as audio and video materials. Reported holdings for other measures (e.g., archives, cartographic materials, and artifacts) were much more similar across library types.

Canadian institutions were far less likely to have established new special collections or collecting programs in the 10 years preceding the survey. Only 55 percent of Canadian libraries had done so, compared with 81 percent of U.S. private institutions

FIGURE 29: Comparison of Key Special Collections Measures to Overall Mean (Mean=1.00) by Institution Type



and 79 percent of state institutions. Levels of discontinued collections during the same time period were roughly similar, occurring at 18 percent of Canadian, 22 percent of private, and 23 percent of state institutions.

FIGURE 30: Mean Special Collections Size (Volumes) by Institution Type

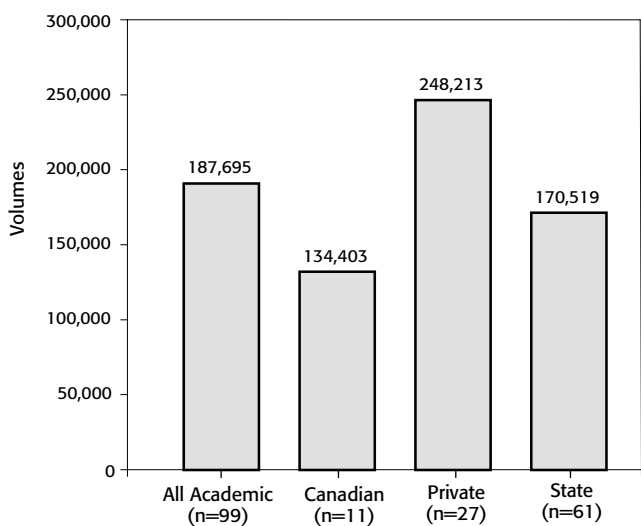
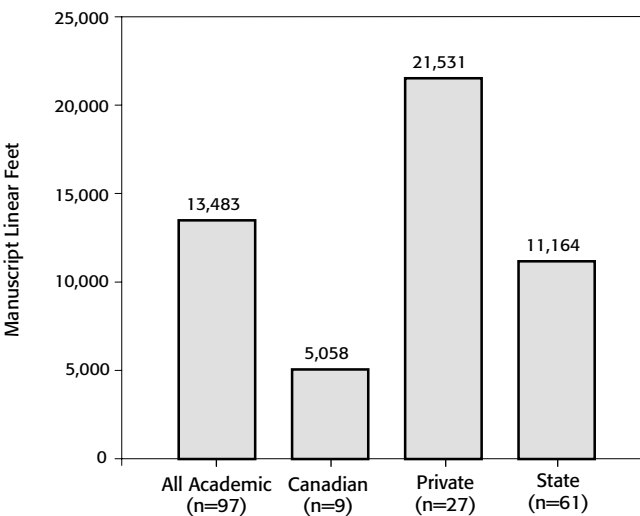


FIGURE 31: Mean Special Collections Size (Manuscript Linear Feet) by Institution Type



Staffing Levels

When grouped by institutional type (Fig. 32), the variations in the number of FTE staff devoted to special collections were less extreme than when institutions were grouped by size. For all respondents taken together, the mean total FTE staff (professional plus support staff, including grant-funded positions) was 15.23. The total for private institutions was 20.43 FTE staff, state institutions reported 14.09 FTE staff, and Canadian institutions reported 9.07 FTE staff.

Canadian institutions were far more likely than average to report a decrease in permanent special collections staff over the 10 years preceding the survey, and far less likely to have gained staff (Fig. 33). Among all respondents, 27 percent had lost special collections staff, while 47 percent had gained staff. For Canadian libraries, those percentages were nearly reversed: Only 27 percent reported a net gain in special collections staff, but over half (55 percent) reported a loss.

Canadian institutions were also distinguished by higher-than-average levels of volunteer or intern staff for special collections. The Canadian mean for FTE volunteer/intern staff (1.14) exceeded both the overall mean in this category (0.80) and the means for both private and state institutions (0.68 and 0.80, respectively). The types of responsibilities most frequently assumed by volunteers or interns were not explored during the survey, nor were external factors, such as unionization regulations or professional training standards, which may in part explain the differences.

Total Expenditures

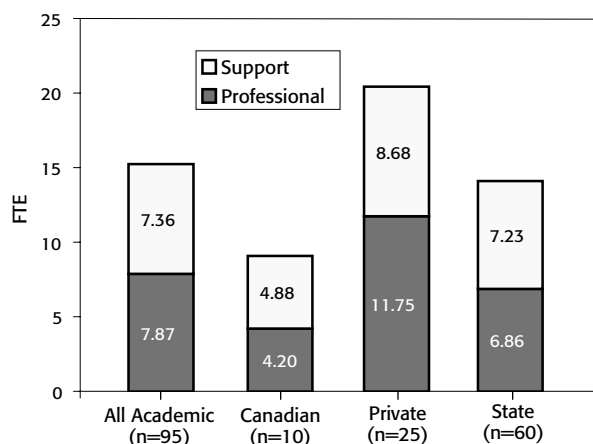
Sorting by institution type revealed substantial differences in expenditures for special collections (Fig. 34), although the degree was less than when sorting by institution size. The average for overall special collections expenditures was \$957,146. Private institutions reported a much higher mean of \$1,603,461; state institutions fell in the middle with a mean of \$803,983; while the mean for Canadian libraries (\$324,483) was only about a third of the overall mean. Of the 14 institutions reporting special collections expenditures over \$1 million, half were U.S. private and half were U.S. state institutions.

When special collections expenditure data were correlated with institutional data from *ARL Statistics*, Canadian institutions seemed to devote the smallest portion of total expenditures to special collections: 3.0 percent as opposed to 4.1 percent for state and 6.0 percent for private institutions (Fig. 35). Canadian institutions were also far more likely than either private or state institutions in the U.S. to report that special collections expenditures as a percentage of total library expenditures had decreased in the 10 years preceding the survey and far less likely to report a constant or increasing percentage (Fig. 36).

Funding Sources

When expenditures were compared across institution type, private institutions exhibited a much lower reliance on appropriated funds and a much higher percentage of expenditures drawn from endowments (Fig. 37). For 1996–97,

FIGURE 32: Mean Special Collections FTE Staff by Institution Type*



* Includes only institutions for which both professional and support FTE staff figures are available.

FIGURE 33: Trends in Number of Special Collections Permanent FTE Staff over Past 10 Years by Institution Type

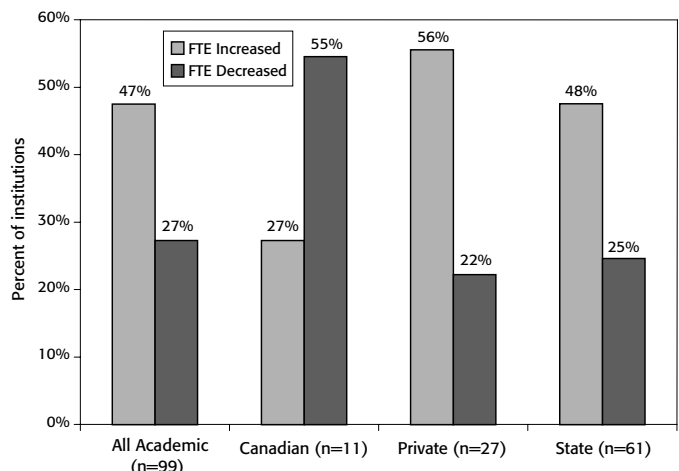


FIGURE 34: Mean Total Expenditures for Special Collections by Institution Type

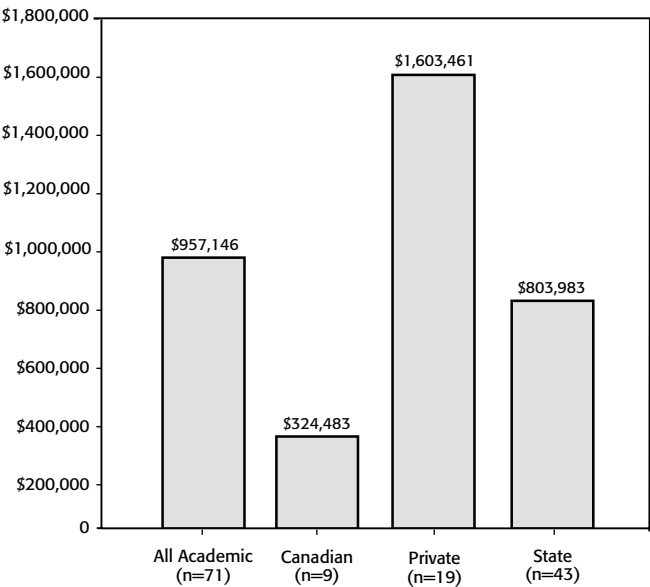


FIGURE 35: Total Special Collections Expenditures as Percentage of Total Library Expenditures by Institution Type

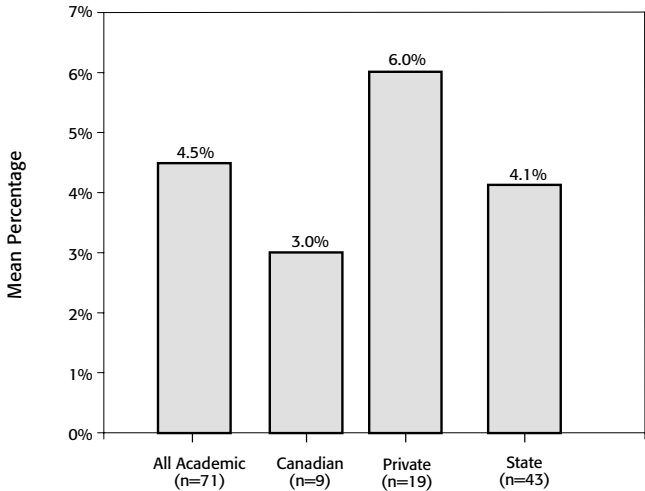


FIGURE 36: Trends in Special Collections Expenditures as Percentage of Total Library Expenditures over Past 10 Years by Institution Type

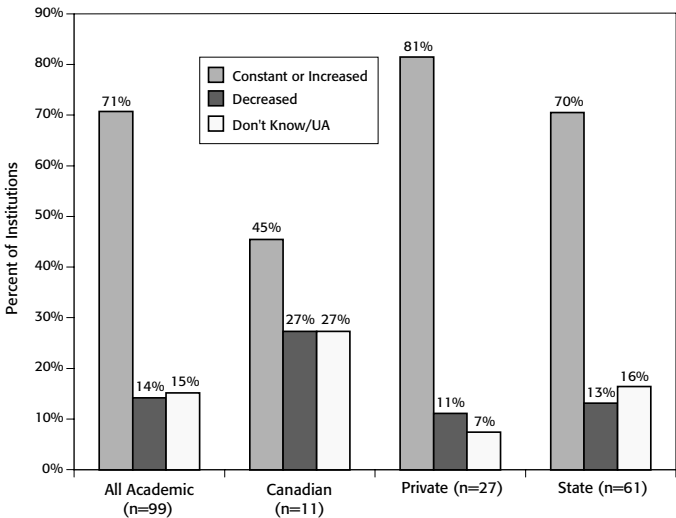
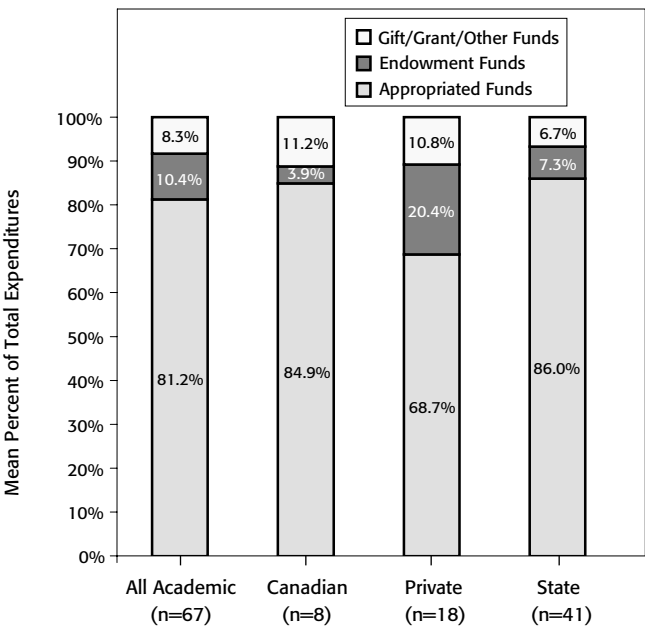


FIGURE 37: Sources of Special Collections Expenditures by Institution Type



private institutions reported a mean of 20.4 percent of total special collections expenditures from endowments and 68.7 percent from appropriations. For state institutions, only an average of 7.3 percent of expenditures were from endowments, while 86.0 percent came from appropriated funds. Canadian institutions reported only 3.9 percent of expenditures from endowments and 84.9 percent from appropriated funds.

Similar trends characterized materials accessions for special collections, with a fairly high mean percentage acquired via appropriated funds in state and Canadian institutions, and a much higher percentage acquired through use of endowment funds by special collections in private institutions (Fig. 38). This same analysis also revealed that while institutions of all types acquired a large percentage of manuscripts as gifts, Canadian institutions in 1996–97 received nearly half (47.3 percent) of all special collections volumes through this channel. The corresponding percentages were considerably lower for both private institutions (30.6 percent) and state institutions (24.2 percent) in the United States.

Facilities

Some differences in the frequency of both completed and planned renovation and construction projects for special collections facilities were discernable when institutions were compared on the basis of type (Fig. 39). While 70 percent of private institutions and 61 percent of state institutions had completed such projects in the 10 years preceding the survey, only 45 percent of Canadian institutions had done so. Canadian institutions were similarly planning special collections construction projects about half as frequently as ARL libraries in the United States.

In a possibly related finding, a greater percentage of Canadian institutions seemed to be anticipating immediate or upcoming problems regarding growth space for materials. While 13 percent of all responding institutions reported that growth space was not a problem, this group included no Canadian institutions. Instead, 36 percent of Canadian respondents expected a problem in 5 to 10 years and 84 percent reported current or imminent space problems. Canadian institutions, however, were significantly more likely than U.S. institutions to find both staff workspace and public space in special collections to be adequate.

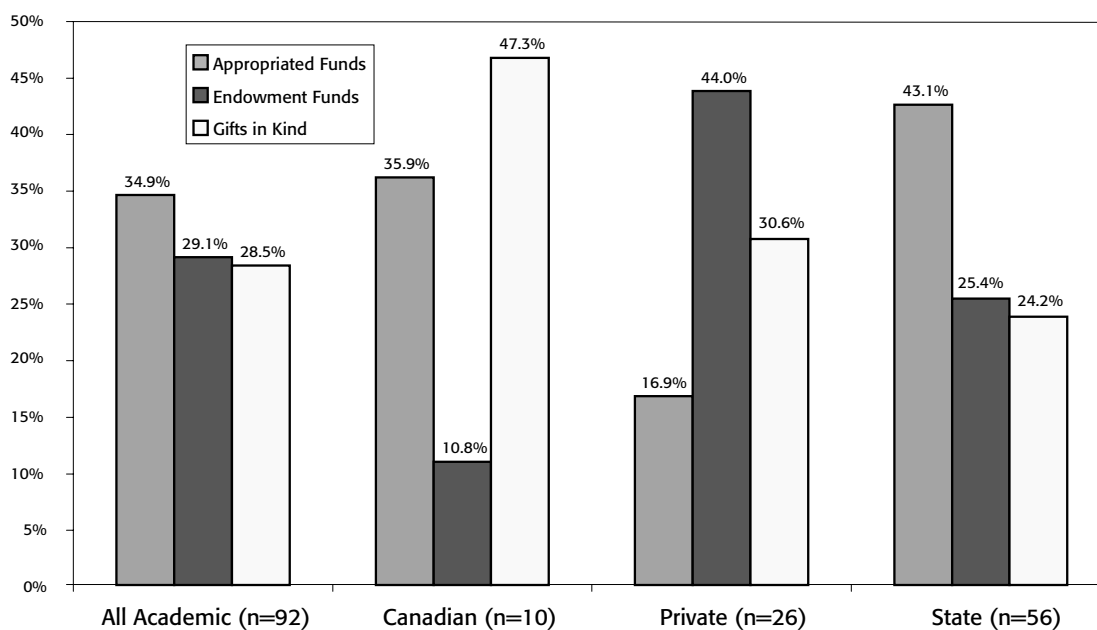
Other Measures

As noted in the preceding discussion, significant differences in the size of special collections—as well as in financial and staff resources for special collections—distinguish Canadian from U.S. ARL libraries. These elements may, in turn, influence other factors studied. Although no single observation below is remarkable individually, taken together they do suggest a situation in which scarcer resources for special collections in Canadian libraries may affect the types of services and programming that those libraries provide.

Outreach and User Activity

- Canadian institutions reported on average making fewer presentations, lectures, and tours. The 1996–97 average for Canadian institutions was 43, compared with 98 for U.S. private and 91 for U.S. state institutions.
- Although the average number of print and electronic publications was approximately the same across all three types of libraries, Canadian institutions reported producing an average of five major exhibits during the year, compared with eight for both private and state institutions.
- Canadian institutions were less likely than U.S. libraries to provide or be planning to provide grants or funding for researchers using special collections. Only two Canadian librarians had such programs or plans in place, compared with seven private and nine state institutions.
- Interestingly, however, the average total number of special collections users in Canadian institutions in 1996–97 (3,790) was approximately the same as the average for private (3,126) and for state (3,958) institutions.

FIGURE 38: *Percentage of Special Collections Volumes Acquired through Each Source in 1996–97 by Institution Type*



Percentage of Special Collections Manuscripts Acquired through Each Source in 1996–97 by Institution Type

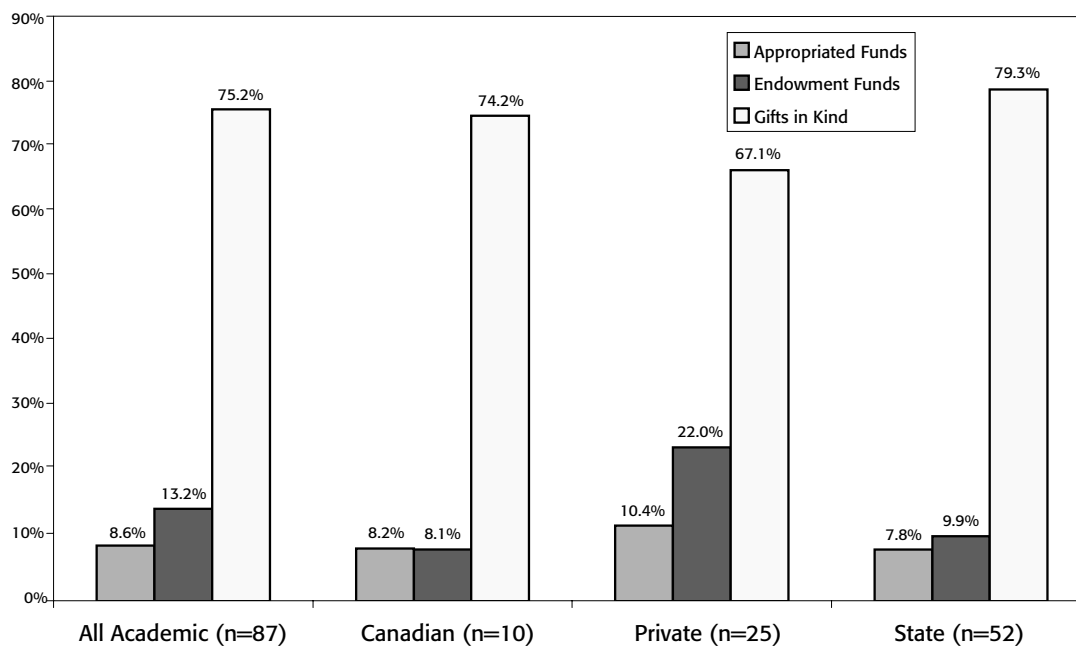
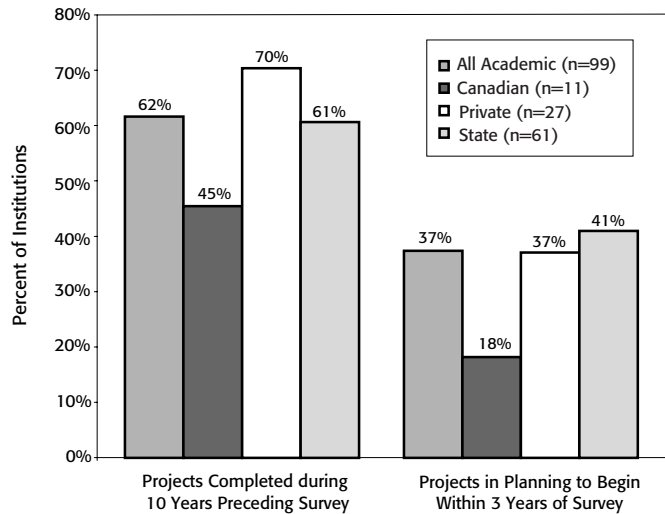


FIGURE 39: *Percentage of Libraries with Completed or Planned Renovation/Construction Projects for Special Collections Facilities by Institution Type*



Preservation and Conservation

- Canadian institutions were slightly more likely to report losing ground on a variety of activities relating to the preservation and conservation of special collections materials. However, they were considerably more likely than U.S. institutions to report making progress on preventive care activities for special collections materials.
- Canadian institutions reported lower average staffing levels than American institutions for the conservation and repair of special collections materials. Canadian institutions reported a mean of 0.39 FTE professional conservator staff and 0.04 FTE other staff for these activities, compared with 0.72 and 0.77 FTE staff for private institutions, and 0.51 and 0.64 FTE staff for state institutions. Among all types of institutions, the majority of conservation treatments for special collections was performed inhouse rather than on a contract basis. Average contract treatment expenditures were highest for private institutions (\$8,570) and lowest for state (\$2,690), with Canadian institutions falling between the two (\$4,232).



Areas of Concern

The survey results paint a generally optimistic picture. The status of special collections in ARL institutions is sound, although some libraries (especially Canadian institutions) tend to lag behind average measures, while the very largest collections (both private and state) seem to stand apart by virtue of their size and associated resources. These differences may be problematic, or they may be the very natural consequences of differing needs and missions among libraries. The survey results also point to a number of areas of general concern. Because the data are suggestive rather than conclusive, these issues are framed as questions of a somewhat speculative nature.

Will ARL institutions be able to continue collecting the special collections materials needed for teaching and scholarship?

Special collections in ARL libraries appear to be generally expanding in both size and scope. Of the 99 academic libraries responding to the survey, 77 percent reported having established new special collections or significant collecting programs in special collections during the 10 years preceding the survey, while only 22 percent reported having discontinued significant collecting programs in special collections during the same period.

While the balance is clearly toward collection growth, the list of discontinued collections (see Appendix 4) bears further examination. Among the 48 collections discontinued in the 10 years prior to the survey or under consideration for discontinuation at the time of the survey, eight were related to traditional rare books strengths of book arts and printing history (listed in the appendix under the three headings Book and

Publishing History, Rare Books, and Authors/Literary Topics). For those 48 collections, a reason was named for 32. The most frequently cited was budgetary considerations (14 cases), followed by suggestions from special collections personnel (10 cases). Five collections were considered out-of-scope or of insufficient research value, and an additional three were discontinued in response to curricular changes. Although not conclusive, these data may be evidence of market pressures driving certain collecting policies.

Evidence in the same list of new and growing collections raises a different set of questions. It is apparent, for example, that documenting the present and recent past were high priorities for many institutions, as demonstrated by concentrations of collections in areas, such as twentieth-century wars, popular culture, journalism and broadcasting, and scientific history. Clearly, the modern record is voluminous. Subjective questions about the adequacy of its documentation by ARL libraries and methodological questions were not addressed in the survey and warrant further study. The present survey does, however, identify some potential impediments to optimal collecting.

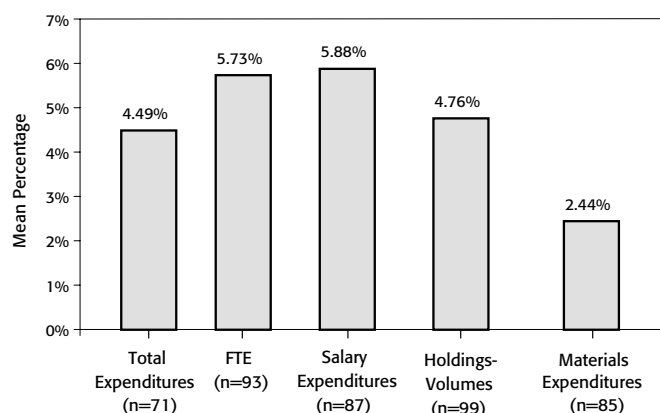
Budgets

The most obvious obstacle to the growth of special collections may be the level of budgetary support for the acquisition of special collections materials. Common wisdom holds that endowments cover many special collections expenses—particularly, purchase of materials. Survey responses, however, suggested a different picture, with potential implications for the collecting programs of some institutions.

First, when comparing survey statistics to *ARL Statistics* for the same year, it is striking that total special collections expenditures averaged 4.49 percent of total library expenditures, yet special collections materials expenditures represented only 2.4 percent of total library materials expenditures (Fig. 40). Special collections FTE staff averaged 5.73 percent of all library FTE staff, with a similar percentage (5.91 percent) of total salary expenditures devoted to special collections. Compounding the discrepancy between percentage of volumes held and percentage of materials expenditures is the high concentration of manuscripts and formats such as graphic and audio materials in special collections, meaning that actual special collections holdings almost certainly exceed the 4.76 percent of library collections represented by volume count. Thus, special collections' share of material expenditures lagged well behind other measures.

One possible way to account for this discrepancy is to assume that large portions of special collections materials were acquired through channels other than purchase. In fact, this seemed very much to be the situation at least for manuscript materials, a

FIGURE 40: Special Collections Resources as Percentage of Total Library Resources*



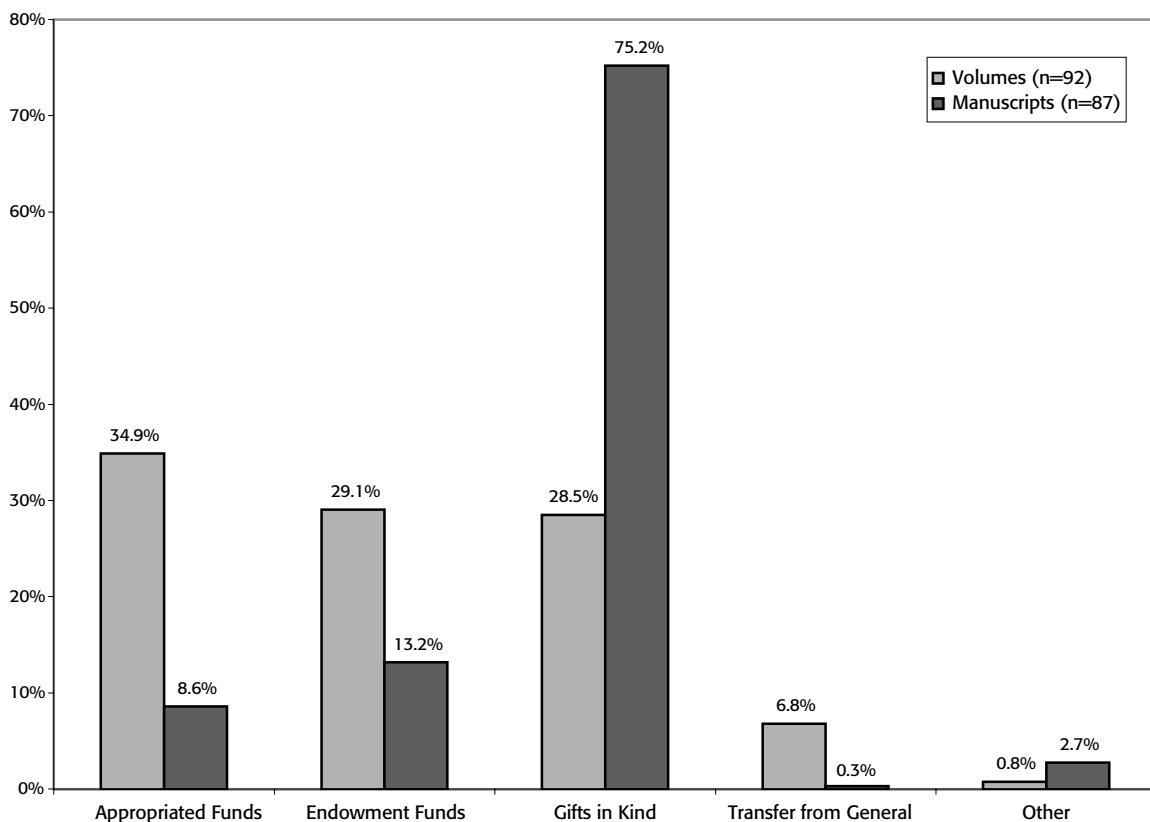
* Based on comparison of survey data with *ARL Statistics* 1996–97.

mean of 75 percent of which were acquired by ARL libraries as gifts-in-kind in 1996–97 (Fig. 41). Accession patterns for print volumes exhibited a pattern of greater distribution with, on average, 34.9 percent acquired through expenditure of appropriated funds, 29.1 percent through endowment funds, and 28.5 percent as gifts. It is thus clear that large portions of some collections were not acquired through purchase. Smaller institutions tended to acquire a higher percentage of their collections (especially manuscript collections) as gifts-in-kind.¹² Canadian institutions were also highly reliant on gifts for both volume and manuscript accessions, while private institutions were more likely than other types to have purchased manuscript collections.

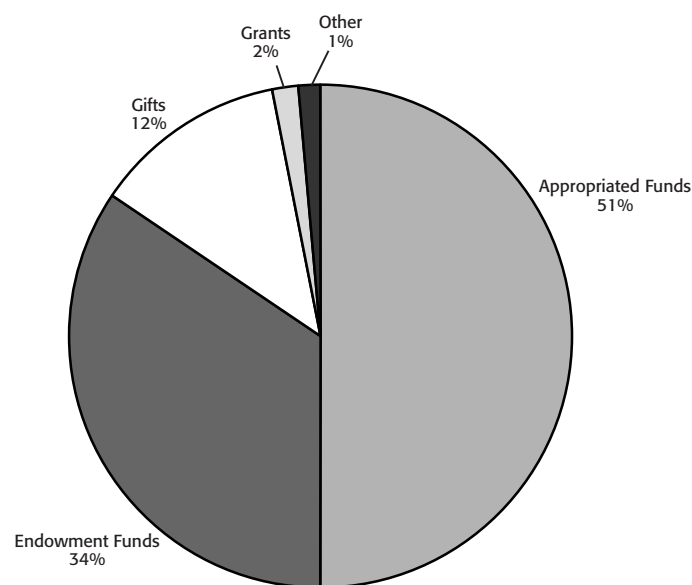
Despite high levels of gifts-in-kind for special collections accessions, purchases nevertheless played a major role, particularly purchases with appropriated funds. In 1996–97, ARL institutions on average spent \$209,723 for materials.

Among the 80 institutions providing detailed source information, an average of 51 percent of materials expenditures came from appropriated funds (Fig. 42), compared with 34 percent from endowments. The overall percentage of total special collections expenditures from appropriated funds was itself substantial. For all academic institutions taken together, an average of 81.2 percent of special collections expenditures were from appropriated funds, while 10.4 percent were from endowments. Smaller institutions relied even more heavily on appropriations, as did both Canadian and state institutions. In general, then, some special collections may be more vulnerable to budget cuts or more directly in funding competition with other library programs and priorities than is generally supposed or than would be the case if endowment revenues were the principal form of support. For the many institutions that fund a large portion of special collections operations from appropriated funds, materials accessions may be particularly vulnerable in the face of other costs or fluctuations in the institutional budget.

FIGURE 41: Mean Percentage of Special Collections Materials Acquired Through Each Source



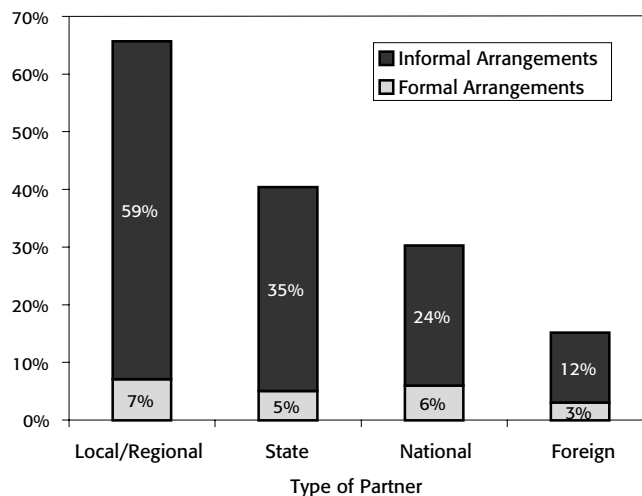
¹² Of the 20 institutions that acquired 100 percent of manuscripts as gifts in 1996–97, four were Group 2, eleven were Group 3, and five were Group 4 libraries.

FIGURE 42: Mean Sources of Special Collections Materials Expenditures (n=80)

The funding picture that emerges from these discrete pieces of data suggests a complex relationship between expenditures for and accession of special collections materials. It seems that a small but important segment of materials is currently acquired through purchase. Given the demonstrated interest of most institutions in expanding special collections in a variety of ways, the relatively small percentage of the library materials budget devoted to special collections is curious and may bear scrutiny to determine whether collecting goals are being adequately supported. While many important collections certainly come to institutions—and are actively solicited—as gifts, it may be that greater financial independence would enhance special collections' ability to engage in more focused or planned collecting initiatives. It is furthermore not clear what percentage of gifts-in-kind arrive with the associated resources to ensure provision of access to and long-term care of the materials.

Cooperative Collecting

Given the extent of the collecting tasks that lie ahead for special collections, the infrequency of formal cooperative collecting arrangements is striking. Institutions were asked to describe special collections' participation in cooperative collection development arrangements on four levels (local/regional; state system; national; and foreign), indicating whether there were no arrangements, informal arrangements, or formal arrangements. In all, only 11 of the 99 responding

FIGURE 43: Percentage of Libraries Having Cooperative Collection Development Arrangements for Special Collections (n=99)

institutions reported the existence of any formal cooperative arrangements, although 65 reported participating in one or more informal arrangement. Informal arrangements among local or regional partners clearly dominated (Fig. 43).

Survey results seemed to confirm that formal cooperative collecting arrangements were not common practice for many special collections. Data were not collected regarding previous or planned initiatives in this area, specifics of existing arrangements, or the successes and challenges of ongoing programs. The difficult questions that cooperative collecting of special collections materials entails are well known, including issues of access, security, and interpretation. Survey results, however, suggest that this may be an area that merits renewed consideration.

Space

On a far more pragmatic note—but no less important—is the simple question of the space required if special collections are to grow vigorously. While most institutions reported generally adequate space for staff and the public, space for collections was a nearly universal problem (Fig. 44). Only 13 percent of institutions reported that growth space for special collections materials was not a problem. For 22 percent of institutions, growth space was anticipated to become a problem within five to 10 years, while for the remaining 65 percent, it was an imminent or current problem.

Interestingly, the construction or renovation of special collections facilities in the 10 years preceding the survey had

only a slight impact on the adequacy of collection growth space. Among the 38 institutions that had not engaged in construction or renovation projects, growth space was a problem for 95 percent and an imminent or current problem for 79 percent. Among 61 institutions which had completed such projects, availability of growth space for collections was nevertheless a problem for 82%, with 56% characterizing the problem as imminent or current. Only two respondents specifically indicated through notes that recent or planned renovations provided sufficient space so that collections storage was not considered a problem.

Similarly, the use of remote storage facilities for special collections did not appear to solve storage problems. Figure 45 shows that 73 percent of respondents reported using some form of on- or off-campus remote storage for special collections materials. Perhaps because larger institutions, with sometimes significantly larger special collections, were the most likely to employ remote storage for special collections, their use did not translate into relief for collections. Among the 72 institutions using some form of remote storage, 79 percent, nevertheless, considered growth space to be an imminent or current concern, in contrast to only 41 percent of other institutions.

Is adequate intellectual access being provided for special collections materials?

Much recent discussion about special collections has been sparked by their potential as a storehouse of primary source materials to sustain digitization projects. At the time of the survey, nearly all of the institutions surveyed were participating or planning to

participate in digitization initiatives involving special collections materials. Not only are the potential benefits of these endeavors many, but survey data also suggested a situation in which access to a very small selection of materials is being greatly enhanced by creation of digital surrogates, while much larger portions of collections still lack far more basic bibliographic access.

For each of several formats, respondents were asked to estimate the percentage of special collections holdings with no formal intellectual access (unprocessed or uncataloged), and those with a card catalog record or manual finding aid, a MARC record (OPAC or bibliographic utility), machine-readable finding aid, or an Internet finding aid. Results revealed two areas of potential concern.

Uncataloged and Unprocessed Material

The data indicated that significant portions of many special collections have not yet been cataloged or processed and that this was especially true for nontraditional formats (Fig. 46). These figures indicate sizeable backlogs that impede full access to and optimal use of special collections materials. Furthermore, funding for retrospective access projects is known to be scarce. For example, for printed volumes, about 15 percent of collections on average remained unprocessed or uncataloged. For microforms—another format with well-established cataloging conventions and a frequently more formalized acquisition structure—the mean level of uncataloged materials was 13 percent. Among 82 institutions reporting on manuscript collections, however, the mean for unprocessed portions of the

FIGURE 44: *Availability of Growth Space for Special Collections Materials (n=99)*

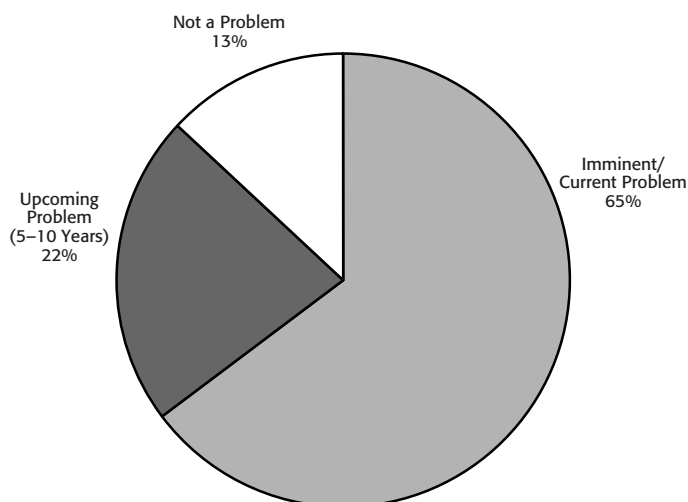
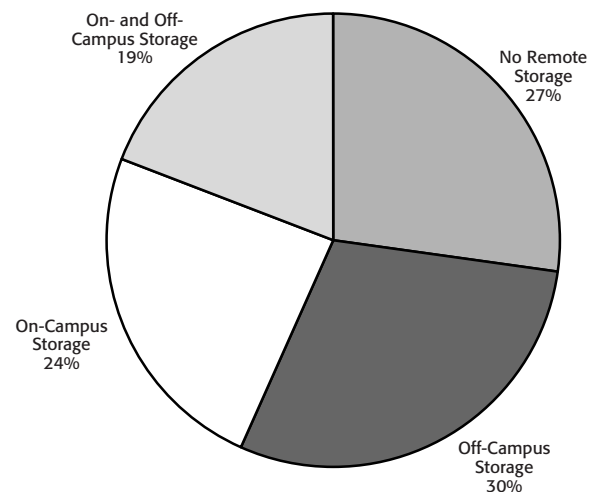


FIGURE 45: *Remote Storage Facilities for Special Collections (n=99)*



collection rises to 27 percent, and a similar level (31 percent) was reported by 71 institutions for their university archives. Percentages of unprocessed materials continue to rise for video (35 percent), graphic (36 percent) and audio (37 percent) materials. The highest average for unprocessed materials (46 percent) was, perhaps not surprisingly, in the artifacts category.

Levels of Access

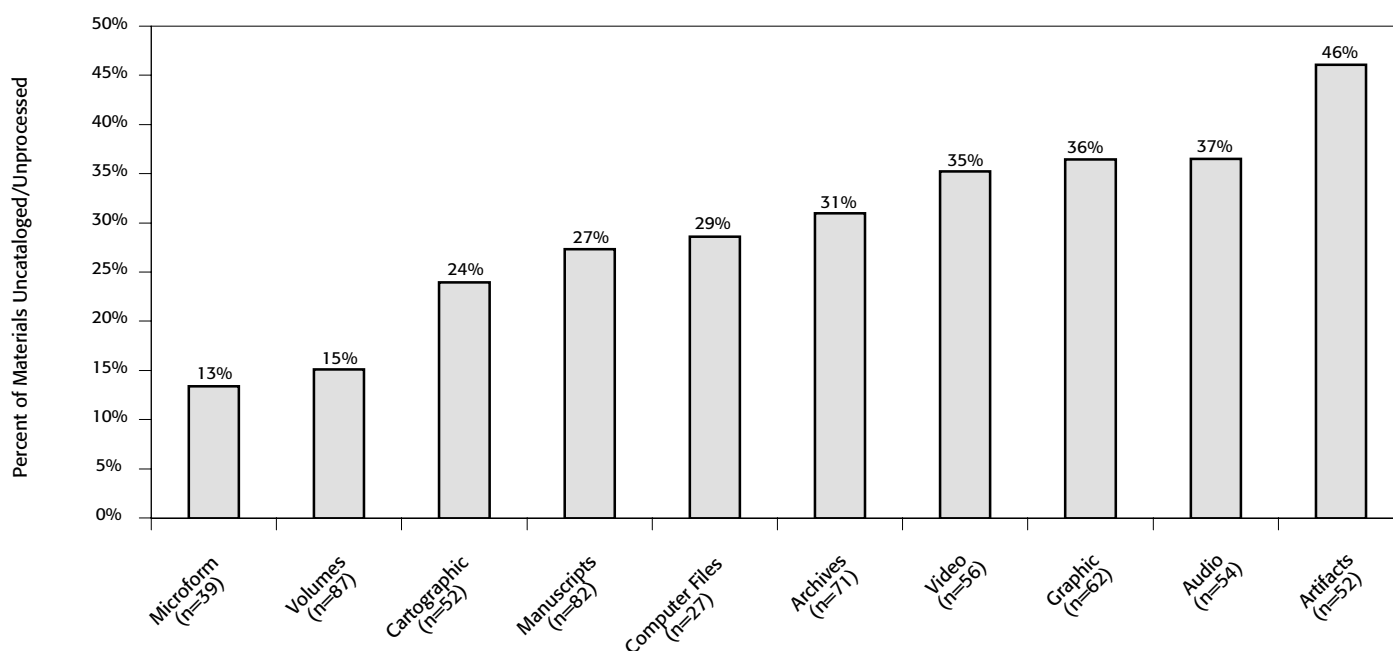
It is harder to make firm generalizations about existing levels of access than about lack of access because access methods are not mutually exclusive. An item or collection with a card catalog record, for example, may also have some form of electronic access. The survey did not distinguish items with more than one existing method of access.

Nevertheless, responses indicated that the most frequently available type of access was through card catalog records or manual finding aids. With the understandable exception of computer files, 50 percent or more of most types of collections were accessible through manual records. It cannot be determined from responses what subset of materials was available exclusively through manual records, although the high percentage of

materials with manual access compared to lower percentages for other methods suggests the proportion was high. Only in the cases of printed volumes and microforms do mean figures for any single category of automated control (MARC records) exceed the mean for card-accessible materials. However complete or accurate manual records may be, they remain essentially local, thereby reducing the number of potential users and possibly increasing demand on staff.

Survey responses also indicated that the potential of the Internet to provide shared access to information about special collections was only beginning to be tapped at the time of the survey. According to survey responses, only about 16 percent of manuscript and archival materials had been given Internet finding aids. With growing emphasis on Internet finding aids and Encoded Archival Description, these figures almost certainly have changed. These fairly low means and even lower medians (5 percent for manuscripts, 1 percent for archives) suggest that this was an activity that most institutions either were not conducting or were only beginning to integrate into operations. An additional response category for this question, requesting the percentage of collections fully accessible digitally as images or text, was dropped following the test phase for lack of quantifiable data.

FIGURE 46: Mean Percentage of Uncataloged/Unprocessed Special Collections Materials



Are staff levels and available skills appropriate to support the growing size and scope of special collections?

One area of perpetual interest is staffing for special collections, since staffing patterns frequently are unlike those found elsewhere in the library. A commonly held—albeit primarily anecdotal—assumption seems to be that special collections are more densely staffed than other operations. The survey analysis examined reported staffing levels and some of the factors that may influence those levels. Also of note are what seem to be an expanding array of new activities that may increasingly influence staffing needs.

Staffing Levels

According to survey responses, special collections in ARL institutions were staffed, on average, by 7.77 FTE professional staff and 7.36 FTE support staff, with only approximately 1 FTE staff funded by grant monies. As discussed above, most institutions reported that the number of permanent special collections FTE staff had generally increased or at least remained stable during the 10 years preceding the survey.

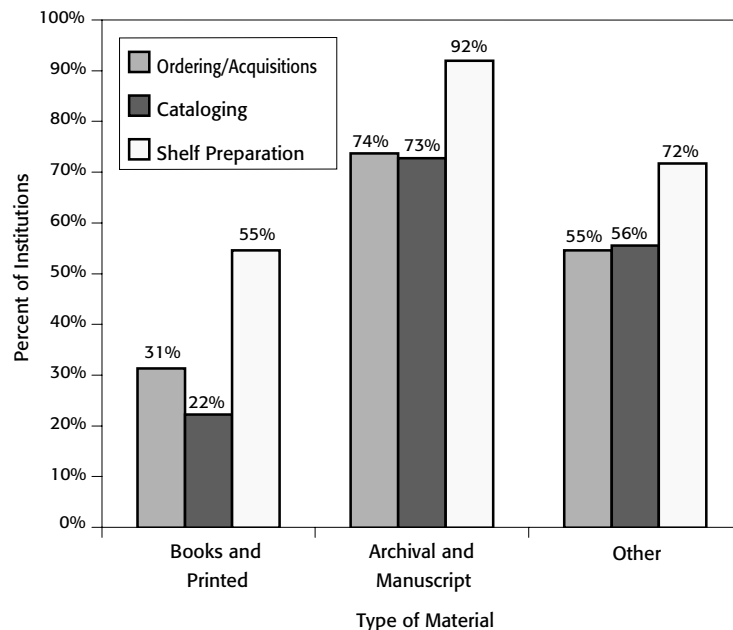
Exploring the relationship of these staffing levels to librarywide totals presents a greater challenge. On average, special collections FTE staff represented 5.73 percent of all library FTE staff, as reported in *ARL Statistics 1996–97*. While special collections volumes accounted for a smaller percentage (4.76 percent) of

all reported library volumes, it is important not to overlook the vast stores of manuscript and archival materials managed by special collections, as well as formats such as graphic materials or artifacts, which may have no other correlates throughout the library.

Several organizational factors may also influence staffing decisions related to special collections and result in higher than expected staff levels. First, although not explicitly studied by the survey, it is clear from notes and comments that many special collections maintain and operate from multiple facilities. This dispersal of special collections across multiple units or locations frequently entails greater staffing requirements.

As another way to provide context for a discussion of staffing, the survey explicitly asked about responsibility for processing special collections materials and found that these functions frequently fell to special collections staff. Institutions were asked to characterize each of several operations (ordering and acquisitions, cataloging, and shelf preparation) as being performed primarily by special collections units, by other library units, or as the shared responsibility of special collections and other units. The question was further separated into three sections dealing with books and printed materials, archival and manuscript materials, and other materials. While responsibility for processing books and printed materials appeared fairly well distributed across the various models, the extent to which responsibility for processing manuscript and other materials fell to special collections is striking (Fig. 47). In approximately

FIGURE 47: Percentage of Libraries Reporting that Special Collections Units Perform Most Processing for Special Collections Materials (n=99)



three-quarters of the institutions, special collections had primary responsibility for the acquisition and cataloging of archival and manuscript materials, and in almost all cases special collections units made such materials ready for use and storage. Percentages were somewhat lower but still significant for other types of materials administered by special collections. These operational arrangements may partially explain reported special collections staffing levels.

Range Of Activities

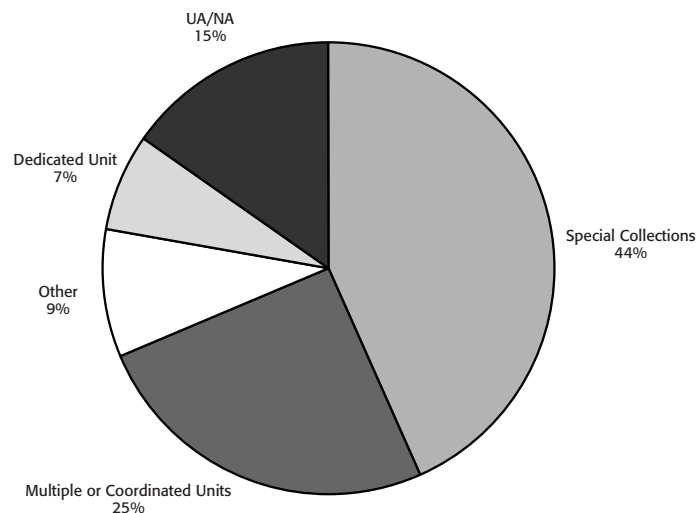
In addition to existing or traditional responsibilities, the survey revealed a variety of special or emerging responsibilities that touch special collections. These responsibilities may also contribute to staffing decisions and may ultimately influence the number of personnel and type of expertise required for special collections.

Digitization

One area of new and increasing activity related to digitization. While such initiatives do not exclusively involve special collections, these materials were frequently mentioned as a source for interesting and worthwhile projects. These expectations seemed already to have had an impact on most ARL special collections operations at the time of the survey. Only 9 percent of participating institutions were not conducting or planning some sort of digitization project involving special collections materials. In contrast, 66 percent were already conducting such projects, and another 25 percent were planning for digitization projects. Appendix 5 lists the specific projects described in response to this question, revealing a diversity of subjects and approaches.

Not only were special collections materials being used in digitization initiatives, but special collections personnel were frequently being called upon to help manage these projects (Fig. 48). Of the responding institutions, 44 percent indicated that digitization projects involving special collections materials were managed chiefly by special collections units. Another 25 percent indicated shared or joint responsibility for projects, although management units almost always included special collections. Seven percent of respondents cited a dedicated unit as managing digital initiatives involving special collections materials. Fifteen percent of respondents did not complete the question or did not have applicable digitization projects. The high percentage of special collections units involved with

FIGURE 48: Unit(s) Managing Digitization Projects Involving Special Collections Materials (n=99)



management of digitization projects suggests not only that this is a new and growing responsibility, which those units must balance with competing demands, but also that special collections practitioners—like many of their peers in general collections—are being asked to develop new areas of expertise.

Nearly all institutions (94 percent at the time of the survey) maintained a website or sites for special collections. These sites displayed information ranging from brief statements about hours and collection policies to elaborate online exhibits, sites with links to encoded finding aids, and other features reflecting a pronounced digital orientation. Although not investigated as part of the survey, it is likely that many of these sites are maintained wholly or partially by special collections units themselves.

Development

Perhaps more than most other areas of the library, special collections have historically had a close relationship with development and fundraising activities. Although this is not a new area of responsibility, survey results give a somewhat more complete idea of the considerable role that special collections personnel play in this arena.

For each of several positions or offices, respondents were asked to characterize involvement in fundraising for special collections and other development activities for special collections as none, low, moderate, high, or not applicable. The positions listed were:

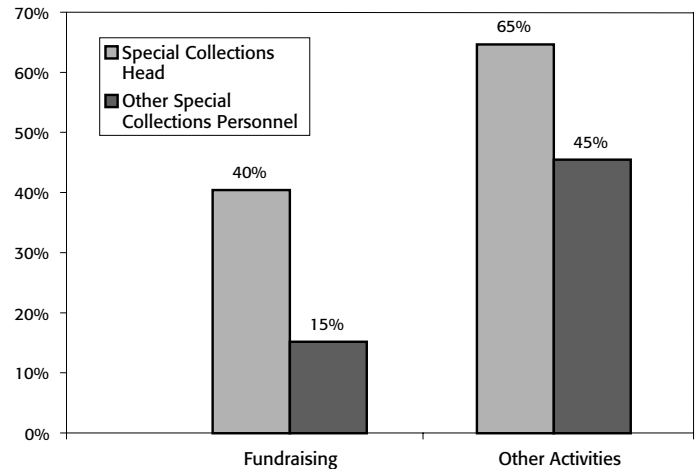
- Library development officer/department
- Special collections development officer/department
- Special collections head
- Special collections curators/librarians/archivists
- University development office
- University librarian/library director
- Other (description requested)

Only two institutions reported having a development office or officer specifically devoted to special collections. It also seemed that responsibility for special collections fundraising was more distributed than other types of development work across a range of positions, including a high level of participation from the director. The involvement of special collections personnel in development activities, particularly those other than fundraising, was nevertheless striking (Fig. 49). Special collections heads were said to have high involvement in fundraising at 40 percent of institutions and high involvement in other development activities at 65 percent of institutions. Other special collections personnel also had high involvement in other activities at 45 percent of institutions, although they were much less frequently involved in fundraising activities.

Publications and Exhibits

A final traditional, but significant, area of responsibility for special collections personnel is the preparation and production of publications and exhibits. The survey requested the number of each produced in 1996–97 in both print and electronic format. Overall, institutions reported mounting an average of eight exhibits during the year, compared with an average of one major print publication and two electronic exhibits or publications. No institution reported producing more than 10 print publications or 13 electronic publications, but 25 institutions reported mounting 10 or more exhibits in 1996–97, to a maximum of 52. Similarly, very few institutions—only seven of the 99 responding—reported not mounting any exhibits at all during the year, although 47 institutions did not produce any major print publications, and 40 did not produce electronic publications or exhibits. Only four

FIGURE 49: Percentage of Libraries with High Involvement of Special Collections Personnel in Special Collections Development Activities (n=99)



institutions did not produce any print publications, exhibits, or electronic publications/exhibits.

Are channels of internal communication and cooperation being fully exploited to support special collections?

While it is essential for special collections to communicate effectively with actual and potential users, it is equally important that colleagues and administrators within the library be fully informed about the scope, mission, and resources of special collections. Some potential channels for internal communication have already been mentioned in other contexts. Improved bibliographic access through online tools, for example, might increase referrals made by other units, or improve the capacity of those units to respond to queries about special collections materials. Exhibits and publications inform coworkers as well as the public. The survey also solicited information about more formal types of administrative communication, revealing a lack of consistent practice among ARL libraries.

Collection Development Policies

While most libraries reported having formal collection development policies for some or all special collections, less than half reported that special collections were addressed in a librarywide collection development policy or in the policies of most other library units (Fig. 50). In all, 55 percent of respondents reported the existence of formal collection development policies for special collections materials, and an additional 28 percent reported having such policies for some special collections. In contrast, only 43 percent reported that special collections were represented in other library collection development policies, suggesting that at least one channel for promoting cooperation or understanding might bear further investigation. Although some institutions sent samples of collection development policies—either for special collections or for the institution—the survey did not ask about the nature of existing policies, which seemed to range from brief summaries as part of a website to extremely structured statements of prioritization, collection histories, or strategic goals.

Planning

Less than half (47 percent) of responding institutions reported having a current multiyear or long-range plan for special collections. The survey did not ask whether such plans were the norm at the institution generally or whether such planning was incorporated into other institutional planning efforts. Nevertheless, like formal collection development policies, an articulated plan can in some instances prove an effective tool for reiterating the accomplishments and contributions of special collections to the library and institution.

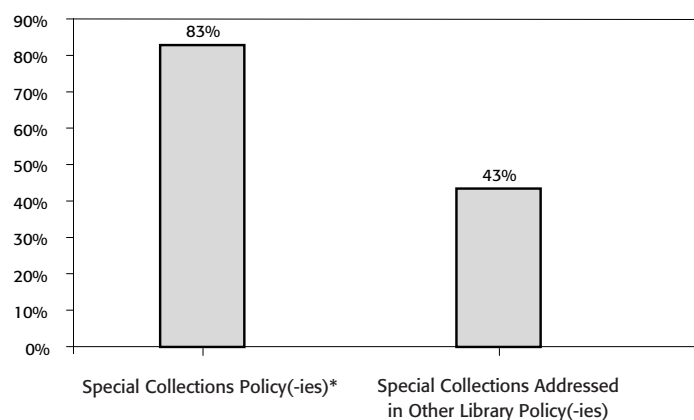
Is a sufficient investment being made in the preservation of special collections materials?

As reported above, most institutions evaluated their conservation and preservation programs for special collections favorably in most areas. Respondents generally felt their institutions were making progress or holding steady, rather than losing ground for a variety of activities related to special collections. Despite this positive assessment, survey results also indicated some areas of potential concern.

Conservation and Treatment

Conservation activities—item-by-item remedial or protective treatment of library materials—are frequently associated with special collections, because such activities attempt to maintain the original artifact. It is therefore not surprising that most

FIGURE 50: Percentage of Libraries with Formal Collection Development Policies Regarding Special Collections (n=99)



* 55% report policies for all special collections; 28% for some special collections only.

institutions rate their special collections conservation programs highly (Fig. 51). Seventy-seven percent of institutions considered themselves to be either making progress or holding steady in their conservation programs for special collections.

Despite these generally high marks, a number of institutions assessed their own activities less optimistically. Sixteen percent of respondents reported losing ground in special collections conservation. Also of concern, 6 percent of institutions reported that conservation activities were not a part of the preservation program for special collections, suggesting that needed work may not be taking place.

A related issue is the correlation between institutional self-assessment and the quantitative data supplied in response to other questions. Assessment of progress is, to be sure, a highly subjective and relative measure. An institution with a fairly young preservation program may be making progress even though little measurable activity has yet taken place, while an institution with a large and well-established program may consider itself to be losing ground relative to strategic plans or previous activity. Both of these situations were encountered in the survey responses. Moreover, there are no accepted benchmarks that define baseline parameters for a special collections conservation program. A 1991 ARL report does give target benchmarks for “minor” and “intermediate” treatments at libraries of various sizes and optimal staffing models for mature preservation programs. However, these figures are not specific to special collections.¹³

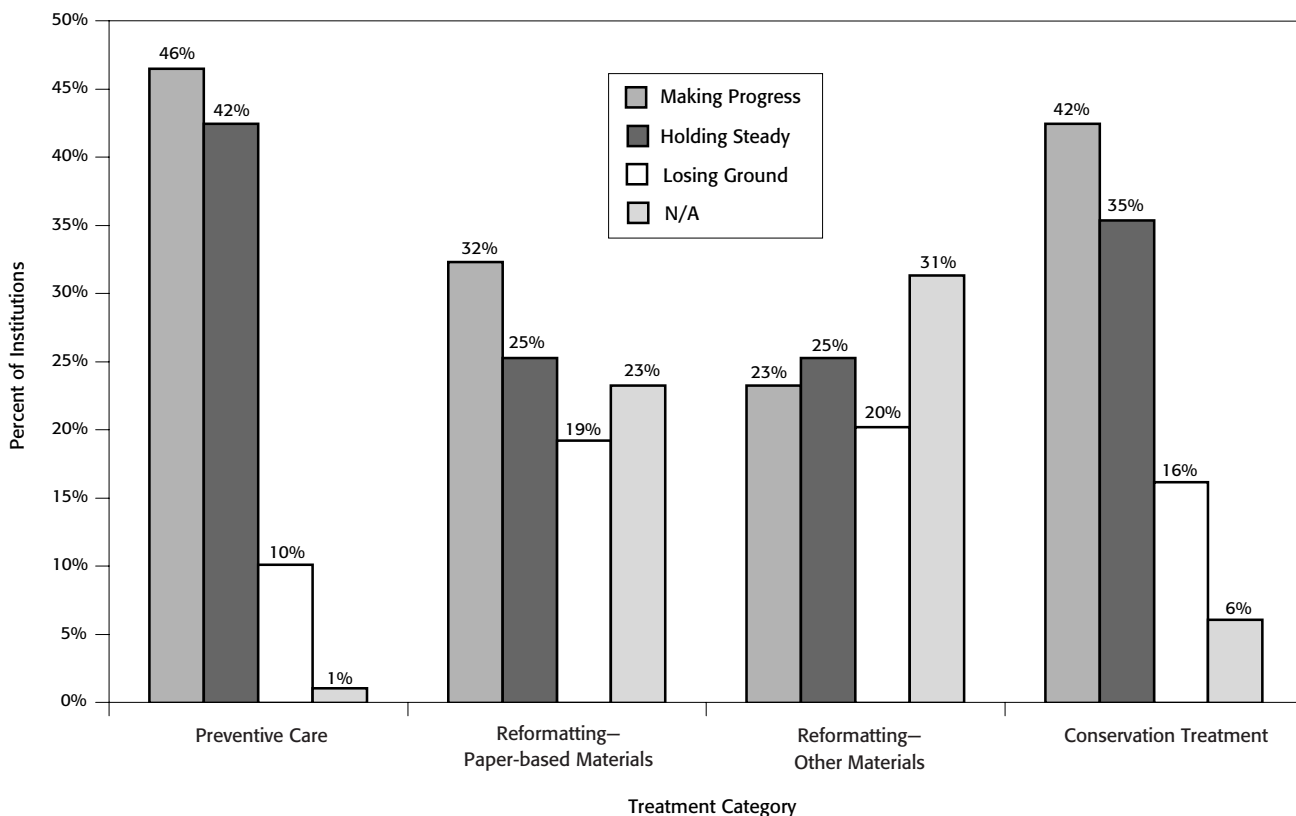
¹³ Jan Merrill-Oldham, Carolyn Clark Morrow, and Mark Roosa, *Preservation Program Models: A Study Project and Report* (Washington, D.C.: ARL, 1991).

Even in the absence of formal benchmarks, there appeared in some cases to be a dissonance between subjective ratings and reported conservation activity. Significant numbers of institutions reported no conservation or repair treatment of special collections materials in 1996–97, despite reporting that their programs were making progress or holding steady on the conservation of special collections. As Figure 52 illustrates, for example, 33 percent of the institutions making progress in special collections conservation and 24 percent of those holding steady nevertheless reported no Level 3 (over 2 hours) treatments of special collections materials. Results were similar for other types of treatments. Although not conclusive, these percentages are nevertheless surprising and suggest that there may be work that could be accomplished with additional resources.

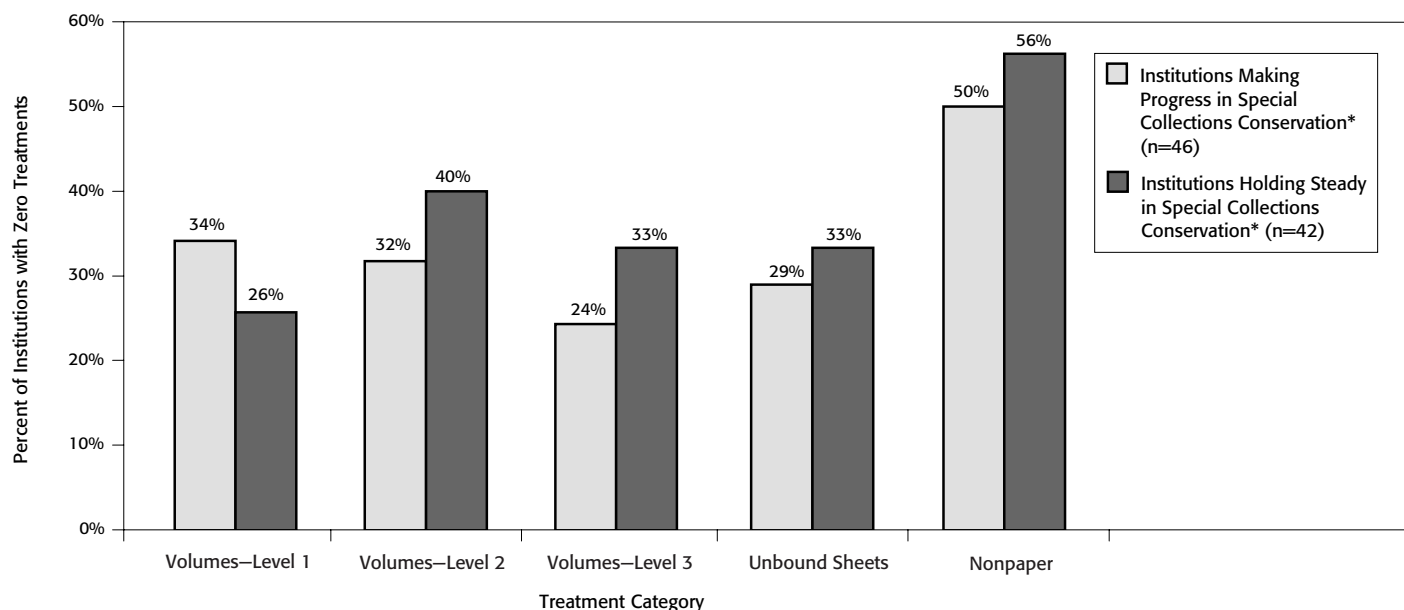
Also of interest—although presenting similar problems of interpretation—are staff levels devoted to the conservation and

repair of special collections. On average, institutions reported having 0.56 FTE professional conservator staff and 0.62 FTE other repair and treatment staff devoted to special collections. These averages, however, include a few institutions with unusually high conservation and repair staffing and a surprising number with none at all. Among 85 reporting institutions, 27 percent had no staff time at all devoted to conservation or repair of special collections materials; and an additional 15 percent devoted less than 0.5 FTE staff to these activities. Interestingly, 8 of the 42 institutions making progress on conservation and seven of the 35 institutions holding steady had no FTE staff devoted to special collections conservation and repair. In this context, the 1991 *ARL Preservation Program Models* recommends, even for institutions with 2–3 million volumes, that “a *second* conservator may be needed depending upon the nature of special collections.”¹⁴

FIGURE 51: Perceived Effectiveness of Special Collections Preservation Programs (n=99)



¹⁴ Merrill-Oldham, et al., 33. Emphasis added.

FIGURE 52: Percentage of Libraries Performing Zero Conservation Treatments of Special Collections Materials in 1996–97

* As self-assessed in survey question 42.

It is, of course, not necessary to have a substantial on-site conservation staff, given the possibility of contracting out conservation treatments. Data suggested, however, that contracted services were not generally being used on a large or comprehensive scale. In all, 34 institutions reported using contract conservation services for special collections materials, although this includes only five of the 23 institutions with no conservation or repair FTE staff for special collections.¹⁵ The remainder of libraries reported using some combination of contracted and in-house services. Expenditure data corroborated treatment figures: 35 institutions reported expenditures for contract treatments of special collections materials. Because contract treatment data for a number of these institutions are not given in *ARL Preservation Statistics 1996–97*, it is not possible to determine accurately the percentage of contract expenditures used for special collections materials.

While 88 percent of institutions reported that they were holding steady or making progress with regard to preventive care of special collections materials, only 64 percent of institutions reported elsewhere in the survey having adequate temperature and humidity control for all or most special collections facilities. Only 16 percent reported presence of a theft detection system, and only 14 percent had a surveillance system.

Reformatting

In general, institutions seemed less optimistic about reformatting operations for special collections materials than about other types of treatment (Fig. 51). Only 32 percent of respondents believed they were making progress in the reformatting of paper-based materials held by special collections and 23 percent in reformatting other types of materials. For each type of material, 25 percent of institutions felt they were holding steady in their special collections reformatting operations. By contrast, 19 percent of libraries reported losing ground in reformatting paper items and 20 percent in reformatting other materials.

In addition to higher numbers of institutions reporting actually losing ground with regard to reformatting, a fairly large percentage reported that reformatting activities for special collections were not applicable—that is, not part of the preservation program—at their institution. This response was provided by 23 percent of institutions regarding the reformatting of paper-based materials and 31 percent of institutions regarding other types of reformatting. While these responses of not applicable may be appropriate, they may also signal certain programmatic gaps.

¹⁵ A sixth library reported that all conservation treatments were performed on a contract basis, although a percentage of in-house conservation/repair FTE was devoted to special collections.

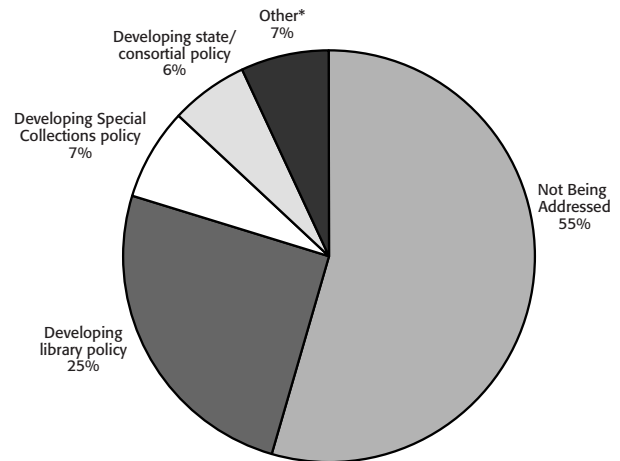
The designation of materials as special collections generally implies a long-term commitment to the maintenance of the original artifact, in which case reformatting—particularly of print and manuscript materials through microfilming or preservation photocopying—may simply be less suited. On the other hand, it is not uncommon for repositories to restrict use of fragile materials by requiring use of a surrogate to prevent wear on the artifact. In these cases, reformatting activities can play a very important role in special collections preservation. Furthermore, certain types of material such as audio and video recordings generally require some sort of reformatting treatment if they are to be made or remain usable. Perhaps because of technological obstacles, the high costs of many types of less traditional reformatting—or lack of a programmatic response—certain special collections materials may, in fact, not be receiving the full range of preservation attention they require.

Electronic Records

Respondents were asked to describe their institution's preservation plans for the electronic records held by special collections using one of seven categories: addressed by a librarywide policy, addressed by a special collections policy, addressed by a statewide or consortial policy, being developed as part of a librarywide policy, being developed as part of a special collections policy, being developed as part of a statewide or consortial policy, or not currently being addressed.

At the time of the survey, only two institutions reported an existing policy for the preservation of electronic records held by special collections—one library policy and one state or consortial policy (Fig. 53). The vast majority (55 percent) reported that the issue was not being addressed. Only slightly more than one-third of institutions reported that a policy of some sort was in development, either by the library (25 percent), by special collections (7 percent), or by a state or consortial body (6 percent). Not clear

FIGURE 53: Policies for Preservation of Electronic Records Held by Special Collections (n=99)



* "Other" includes: two institutions with existing policies; two instances of policies being developed by other institutional offices; "being addressed, but no policy"; "no electronic records in special collections"; and one unavailable response.

from survey responses was the degree to which policies in preparation were nearly complete or what was being done to preserve electronic records in the interim.

Given the changing and growing nature of special collections, the volume of electronic records that these collections contain is sure to increase. It is likely, given the attention that this issue has received in recent years, that proportions may have changed and that more institutions are now addressing questions of preservation of electronic records. At the same time, the complexity of the problems involved and the very few institutions with in-place policies at the time of the survey suggest that many institutions are still in the process of developing or articulating an approach.



Unanswered Questions and Areas for Further Investigation

For most readers, this survey and analysis will have answered many questions and raised many more. In some cases, the data collected seem to invite clarification or elaboration; in other cases, survey results may indicate entirely new channels of inquiry. A number of specific outstanding questions were raised during the preceding discussion. This section will identify additional areas closely related to the survey that could bear further study as a more complete picture of special collections in ARL libraries continues to develop.

Organization and Structure

It has already been observed that the internal organization of special collections operations may vary substantially from institution to institution. Many respondents indicated the existence of multiple special collections units, and this fact has been noted where it has complicated data aggregation or interpretation. Not explored, however, are the advantages and drawbacks of particular arrangements and the alternatives toward which some institutions are moving.

A related issue involves the placement of special collections within the organizational structure of the library. The survey attempted to discern trends by asking respondents to name the position with highest administrative authority for special collections and the position to which this person reports. However, no clear picture of organizational placement for special collections could be discerned. This was in large part because of the multiplicity of titles in use among ARL libraries and the different connotations that these titles carry. Thus, while 70 percent of special collections seemed to be headed by a unit or department head (as identified through titles, such as head of special collections, or director of special collections and archives, and curator), it is certain that these individuals vary greatly in the degree of administrative authority they exercise. Other titles were ambiguous or were not comparable across institutions. Because of this variability, no reliable picture emerged of the most common institutional placement for special collections or of the centrality of special collections in institutional operations and decision making.

Also bearing further examination is the management of library materials that, by their nature, might be comparable to those held in special collections units but that are located elsewhere in the library. Given the already large percentage of materials that arrive in some special collections by way of transfers from the circulating collections, as well as the growing definition of what constitutes “special” materials at all, this question takes on growing importance. What models exist for effective planning and sharing of expertise?

Personnel and Staffing

Related to issues of organization and structure are questions involving personnel and staffing for special collections. This survey gathered basic information about FTE staff levels, scope of existing responsibilities, and recruitment plans. However, a number of interesting qualitative questions remain.

First, further research regarding the changing roles of special collections personnel could be instructive. For example, survey respondents were asked, for a number of technical processing functions, to indicate whether primary responsibility for handling special collections materials lay with special collections units, other library units, or a combination of the two. What this question did not explore is possible alternatives to existing arrangements or when such alternatives might be desirable. In many cases, the nature of the materials, concern for their security, or specialized knowledge needed to process them properly require centralization of processing within special collections units. At the same time, responsibilities for processing special collections materials may be shifting, presenting possibilities for increased cooperation with other parts of the library or among previously autonomous special collections divisions. For example, the growing use of AMC records and Encoded Archival Description could potentially foster greater integration of rare book and manuscript cataloging staff, although the survey was not structured to determine whether this might be the case.

Another area that the survey only tangentially began to uncover is the types of expertise—apart from collection management and operational specializations—that frequently reside in special collections. Survey responses indicated, for example, significant experience with fundraising and with publicity operations, including the development and marketing of exhibits, publications, and presentations. Responses also indicate the increasing involvement of special collections staff in managing digitization projects. At many institutions, special collections personnel have developed considerable experience and success at grant writing. While much of the interest in “mainstreaming” focuses on coordinating special collections operations with other parts of the library, the particular lessons learned and skills acquired by special collections personnel may also have broader applicability and represent a resource that should not be overlooked.

The scope of and potential for changes in the job descriptions for special collections staff may have implications for the staffing trends described in survey responses. Nearly half (48 percent) of participants indicated that the number of permanent special collections FTE staff had generally increased over the past 10 years, and respondents expected on average to recruit for

1.7 professional positions in the three years following the survey. In this context, it is certainly worth considering how new professionals are recruited and trained and what kinds of skills will be necessary in today's environment.

Use and Users

This survey ran head-on into one of the significant ongoing challenges for special collections: documenting the importance of these operations to the campus and the community. For want of more meaningful statistics that would also be commonly available, the survey asked respondents about the number of on-site users of special collections and the number of remote reference queries received. As expected, these figures amounted to little more than a small fraction of librarywide usage and reference totals. Data regarding the number of presentations made by special collections and the ten-year general trends in

use by classes (increased, decreased, or stable) only marginally rounded out this picture.

While one difficulty results from the wide variety of user statistics kept by different institutions—and, frequently, judging from survey responses, even within institutions—the greater issue is determining not only the appropriate measures by which to evaluate and compare usage, but also the appropriate terms to use to convey the centrality of special collections for all levels of research and scholarship. Despite the questions it raised, this survey clearly demonstrates the richness, complexity, and potential of special collections and suggests that a continued or increased commitment to them could have great benefits. Documenting these benefits and articulating their relation to the mission of the research library and the university will be one of the great tasks that lie ahead.



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Appendices

A P P E N D I X 1

ARL SURVEY: SPECIAL COLLECTIONS IN ACADEMIC RESEARCH LIBRARIES

Contact Person: _____ Title: _____

Library/Institution: _____

Telephone: _____ E-mail: _____ Fax: _____

How would you prefer to be contacted if there are follow-up questions? _____

Instructions

If special collections are organized as more than one administrative unit, **combine** data from those units. In the case of units with responsibility for both special and general collections, answers should refer only to special collections materials and the resources (funding, staff, etc.) associated with them. For unavailable data, enter **UA**. Responses should refer to **FY 1996-97**.

Include an **organization chart** for special collections with your response.

Return completed survey by **September 15, 1998** to: Judith Panitch, CB #3900 Davis Library, University of North Carolina at Chapel Hill, Chapel Hill, NC, 27514. Address questions to: panitch@email.unc.edu or 919-962-1301 (fax: 919-962-0484).

Definition

Special collections are library materials which, in addition to supporting research, are often characterized by artifactual and monetary value, by uniqueness or rarity, and by a long-term preservation and access commitment on the part of the library. This normally excludes general collections characterized by format (e.g., nonprint or microforms departments) or by subject specialization.

Collections

- For each type of *special collections* material, indicate collection size by **physical unit**. Refer to the aggregate of special collections materials held by your library. Do not count items included as integral parts of manuscript or archival collections. If special collections do not include such material, enter "0." See *ARL Statistics* for most definitions and units.

	Collection size		Collection size
Volumes	_____	Audio materials	_____
Manuscripts (ln. ft.)	_____	Video and film	_____
University archives (ln. ft.)	_____	Microforms	_____
Cartographic materials	_____	Computer files	_____
Graphic materials	_____	Artifacts	_____
___ No special collections (Please stop and return survey.)		Other (describe)	_____

- Has your library established any *special collections* or significant collecting programs in *special collections* during the last ten years?
 ___ Yes (List and note impetus for establishment; e.g., gift, curator's suggestion, Director's suggestion.) ___ No
 - Is your library currently considering establishing any *special collections* or significant collecting programs in *special collections*?
 ___ Yes (List and note background.) ___ No
-

4. Has your library discontinued any significant collecting programs in *special collections* during the last ten years?
 ____ Yes (List and note background. Disregard administrative reorganizations of continuing collections or programs.) ____ No
5. Is your library currently considering discontinuing any significant collecting programs in *special collections*?
 ____ Yes (List and note background. Disregard administrative reorganizations of continuing collections or programs.) ____ No
6. Does your library have a formal collection development policy (or policies) for *special collections*?
 ____ Yes (Include or cite URL) ____ Some special collections only (Include or cite URL) ____ No
7. Are *special collections* addressed in a library-wide collection development policy, or in the policies of most other library units?
 ____ Yes (Include relevant sections or cite URL) ____ No
8. During the last fiscal year, approximately what percentage of *special collections* materials (by type) was acquired through each of the following sources? (*i.e.*, What percentage of new volumes was purchased? Received as gifts? Transferred?)

Accession Source (%)

	Purchased (Univ. or State Appropriations)	Purchased (Endowment or Gift funds)	Gifts in Kind	Transferred from General Collections	Other (Describe)	
Special Collections Materials						
Volumes	_____	_____	_____	_____	_____	=100%
Manuscripts	_____	_____	_____	_____	_____	=100%

9. Do you know of clear trends in this pattern over the last ten years? For each category in question 8, use: 0 (no change); 1 (increased); 2 (decreased); 3 (don't know).
- ____ University or State Appropriations ____ Gifts in Kind ____ Other
 ____ Endowment or Gift funds ____ Transferred from General Collections
10. Do *special collections* participate in any cooperative collection development arrangements with the following types of institutions?
- Use: 0 (no arrangements); 1 (informal arrangements); 2 (formal arrangements).
- ____ Local/Regional institutions ____ Other institutions nationally
 ____ Other institutions in state system ____ Foreign institutions

11. Approximately what percentage of *special collections* holdings has each of the following types of access? (i.e., What percentage of special collections volumes is uncataloged? Represented in a card catalog? Has an OPAC record?) Some materials may have more than one type of access.

<i>Special Coll. Materials</i>	<i>Type of Access (% of collection)</i>				
	Unprocessed/ Uncataloged	Card Catalog/ Manual Finding Aid	MARC Record (OPAC or Bib. Utility)	Machine- Readable Finding Aid	Internet Finding Aid
Volumes	_____	_____	_____	_____	_____
Manuscripts	_____	_____	_____	_____	_____
University Archives	_____	_____	_____	_____	_____
Cartographic materials	_____	_____	_____	_____	_____
Graphic materials	_____	_____	_____	_____	_____
Audio materials	_____	_____	_____	_____	_____
Video and film	_____	_____	_____	_____	_____
Microforms	_____	_____	_____	_____	_____
Computer files	_____	_____	_____	_____	_____
Artifacts	_____	_____	_____	_____	_____
Other (see #1)	_____	_____	_____	_____	_____

Organization/Administration (Please include a current **organization chart** for special collections.)

12. What is the title of the highest administrative position for *special collections*?

13. What is the title of the position to whom this person reports?

14. Indicate FTE *special collections* staff for each category:

	Professional	Support	Student	Volunteer/Intern
Permanent FTE	_____	_____	_____	_____
Grant-Funded FTE	_____	_____	_____	_____

15. Over the past ten years, has the number of permanent *special collections* positions generally:

___ Remained constant ___ Increased ___ Decreased

16. Approximately how many full- or part-time professional positions in *special collections* do you expect to recruit for during the next 3-5 years? _____ positions (not FTE)

17. Indicate whether the following processing functions for **most** *special collections* materials are performed by: 1 (Special Collections); 2 (Other library unit); 3 (Special Collections shared with another unit). Disregard minor or atypical workflows.

	Ordering/Acquisitions	Cataloging	Shelf Preparation
For: Books/Printed Works	_____	_____	_____
Archives/Manuscripts	_____	_____	_____
Other Materials	_____	_____	_____

18. Does any group external to your library (e.g., faculty committees, boards) currently have specific governance or advisory responsibilities regarding *special collections*? ☐ Yes (Describe) ☐ No
19. Do most *special collections* have a current multi-year or long-range plan? ☐ Yes ☐ No
20. For each position, indicate the level of involvement in fundraising for *special collections*. Use: 0 (none); 1 (low); 2 (moderate); 3 (high). If the position does not exist at your library, use **N/A**.
- | | |
|--|---|
| _____ Library development officer/dept. | _____ University development office |
| _____ Special collections development officer/dept. | _____ University Librarian/Library Director |
| _____ Special collections head | _____ Other (describe) |
| _____ Special collections curators/librarians/archivists | |

21. Using the same scale, indicate involvement in other development activities (e.g., solicitation of collections) for *special collections*.
- | | |
|--|---|
| _____ Library development officer/dept. | _____ University development office |
| _____ Special collections development officer/dept. | _____ University Librarian/Library Director |
| _____ Special collections head | _____ Other (describe) |
| _____ Special collections curators/librarians/archivists | |

Facilities

22. Are any *special collections* materials housed in remote storage facilities?
- ☐ Yes (On-campus facility) ☐ Yes (Off-campus facility) ☐ Yes (Both on- and off-campus) ☐ No
23. Have any *special collections* facilities been newly built or renovated in the last ten years?
- ☐ Yes (Describe) ☐ No
24. Is your library planning to begin construction on any new *special collections* facilities within the next 2-3 years?
- ☐ Yes (Describe) ☐ No

25. Are *special collections* facilities equipped with each of the following? (Use "All," "Most," "Some," or "No" facilities.)

_____ Appropriate temperature and humidity control	_____ Magnetic or electronic theft detection system
_____ Fire detection system	_____ Electronic reading room surveillance
_____ Fire suppression system	_____ Closed stacks
_____ Building security system	

26. Is availability of growth space for *special collections* materials:

___ Not a significant problem ___ An upcoming problem (5-10 years) ___ An imminent or current problem

27. Is *special collections* staff workspace adequate? ___ Yes ___ Some areas/units only ___ No

28. Is *special collections* public space adequate? ___ Yes ___ Some areas/units only ___ No

Expenditures (Check here if reporting in Canadian dollars: _____)

29. To help determine patterns in funding sources for *special collections*, complete the following. Of the totals reported for your library in the 1996-97 ARL Statistics, what were approximate expenditures in each category for *special collections* (by source)?

Funding Source	Expenditure Category		
	Materials	Salaries and Wages	Misc., Binding, and Other Operating Expenditures
University/State appropriations	\$ _____	\$ _____	\$ _____
Restricted Endowment	\$ _____	\$ _____	\$ _____
Expendable or Cash Gifts	\$ _____	\$ _____	\$ _____
Grants	\$ _____	\$ _____	\$ _____
Other (describe)	\$ _____	\$ _____	\$ _____
Total	\$ _____	\$ _____	\$ _____

30. Over the past ten years, have expenditures for *special collections* as a percentage of overall library expenditures generally:

___ Remained constant ___ Increased ___ Decreased ___ Do not know

Use & Users

31. Approximately how many onsite users in each category were served by *special collections* during the 1996-97 year?

(If none, enter "0.")

_____ Affiliated faculty	_____ Visiting academic researchers
_____ Affiliated graduate students	_____ Alumni
_____ Affiliated undergraduates	_____ Other (describe)
_____ Other campus affiliates (staff, librarians, etc.)	_____ Affiliation unknown
_____ Local community	_____ TOTAL onsite users

32. Approximately how many telephone, fax, mail, or e-mail queries were received by *special collections* during the 1996-97 year?
(If none, enter "0.") _____ queries.
33. Over the past 10 years, has the number of courses or campus programs making use of *special collections* generally:
 ____ Increased ____ Remained the same ____ Decreased ____ Do not know
34. Does your library provide grants or other funding for researchers using *special collections*?
 ____ Yes ____ Planning to ____ No
35. For each category, approximately how many presentations did *special collections* make during the 1996-97 year to groups through lectures, presentations, tours or other formal activities? (If none, enter "0.")
- | | |
|--|---|
| _____ Campus classes | _____ Visitors from other institutions, countries, etc. |
| _____ Campus affiliates (e.g., alumni, parents, staff) | _____ Other (describe) |
| _____ Local community (e.g., Friends, genealogical societies, clubs, K-12) | _____ TOTAL presentations |
36. Approximately how many of the following did *special collections* produce in 1996-97? (If a publication or exhibit appeared in both traditional and electronic format, count in both categories.)
- | | | |
|--------------------------------|----------------|---|
| _____ Major print publications | _____ Exhibits | _____ Electronic publications or exhibits |
|--------------------------------|----------------|---|

Preservation/Conservation

37. If your library has a professionally trained paid conservator/s, how many FTE? _____ FTE (If none, enter "0.")
- 37b. How many FTE are devoted to activities related to *special collections*? _____ FTE
38. If other paid library staff perform treatment and repair of library materials, how many FTE? _____ FTE (If none, enter "0.")
- 38b. How many FTE are devoted to activities related to *special collections*? _____ FTE
39. Approximately how many of the conservation treatments reported in the *ARL Preservation Statistics*(1996-97) involved *special collections* materials?

	In-house Treatments	Contract Treatments
Volumes—Level 1:	_____	_____
—Level 2:	_____	_____
—Level 3:	_____	_____
Unbound sheets:	_____	_____
Photographs/non-paper items:	_____	_____
Protective enclosures	_____	_____

40. Of the contract conservation expenditures reported in the *ARL Preservation Statistics (1996-97)*, approximately what amount was for the treatment of *special collections* materials? \$ _____

41. Are preservation plans for electronic records held by *special collections* (check one only):

- | | |
|--|--|
| ☐ Addressed by a library-wide policy | ☐ Being developed as part of a library-wide policy |
| ☐ Addressed by a special collections policy | ☐ Being developed as part of a special collections policy |
| ☐ Addressed by a statewide or consortial policy | ☐ Being developed as part of a statewide or consortial policy |
| | ☐ Not currently being addressed |

42. In addressing preservation and conservation needs, how would you characterize your library's program?

Use: 1 ("Making progress"); 2 ("Holding steady"); 3 ("Losing ground"). If your library does not perform an activity, use N/A.

	Special Collections	General Collections
Preventive care	_____	_____
Reformatting (paper-based materials)	_____	_____
Reformatting (other materials)	_____	_____
Conservation/Repair	_____	_____

Electronic Activities

43. Is your library conducting or planning any digitization projects which involve *special collections* materials?

- | | |
|---|--|
| ☐ Conducting (Describe; include URLs if available) | ☐ Both planning and conducting (describe) |
| ☐ Planning (Describe) | ☐ No |

44. If conducting or planning, what unit manages the project/s?

45. Is there a Web site for *special collections*? ☐ Yes (Give URL) ☐ No

Return by September 15, 1998 to: Judith Panitch, CB#3900 Davis Library, University of North Carolina at Chapel Hill, Chapel Hill, NC 27514. Please include **comments** on another page. Thank you for your participation.

Responding Institutions

Institutions have been assigned to groups on the basis of the *ARL Statistics 1996–97*.

Group 1: Over 5 million volumes

18 Institutions:

2 Canadian	6 Private	10 State	
Alberta	Chicago	California, Berkeley	Minnesota
Toronto	Columbia	California, Los Angeles	Ohio State
	Cornell	Illinois, Urbana	Texas
	Harvard	Indiana	Washington
	Princeton	Michigan	Wisconsin
	Yale		

Group 2: 3 to 5 million volumes

21 institutions:

1 Canadian	7 Private	13 State	
British Columbia	Duke	Arizona	North Carolina
	Johns Hopkins	Arizona State	Pittsburgh
	New York	Florida	Rutgers
	Northwestern	Georgia	SUNY at Buffalo
	Pennsylvania	Iowa	Virginia
	Southern California	Kansas	Wayne State
	Washington University, St. Louis	Michigan State	

Group 3: 2 to 3 million volumes

46 institutions:

5 Canadian	12 Private	29 State	
Guelph	Brigham Young	Alabama	Massachusetts
Laval	Brown	Auburn	Missouri
McGill	Dartmouth	California, Davis	New Mexico
Western Ontario	Emory	California, Santa Barbara	North Carolina State
York	Georgetown	Cincinnati	Ohio
	Howard	Colorado	Oklahoma
	Miami	Connecticut	Purdue
	Notre Dame	Delaware	South Carolina
	Rochester	Florida State	Southern Illinois
	Syracuse	Hawaii	Temple
	Tulane	Iowa State	Tennessee
	Vanderbilt	Kent State	Texas A&M
		Kentucky	Texas Tech
		Louisiana State	Virginia Tech
		Maryland	

Group 4: Less than 2 million volumes

14 institutions

3 Canadian	2 Private	9 State	
Manitoba	Case Western Reserve	California, Irvine	Illinois, Chicago
McMaster	Rice	California, Riverside	Oklahoma State
Waterloo		Colorado State	SUNY at Albany
		Georgia Tech	SUNY at Stony Brook
		Houston	

Nonacademic

Boston Public
Library of Congress
Linda Hall Library
National Library of Canada

A P P E N D I X 3

Table 1: Collections

1. For each type of special collections material, indicate collection size by physical unit. Refer to the aggregate of special collections materials held by your library. Do not count items included as integral parts of manuscript or archival collections. If special collections do not include such material, enter "0." See *ARL Statistics* for most definitions and units. [Categories: Volumes; Manuscripts (ln. ft.); University archives (ln. ft.); Cartographic materials; Graphic materials; Audio materials; Video and film; Microforms; Computer files; Artifacts.]

All Academic		Volumes	MS	Arch.	Cartog.	Graphic	Audio	Video	Micro.	Comp.	Artif.
	n	99	97	73	72	71	72	72	62	29	53
	Mean	187,695	13,483	7,646	25,519	488,396	22,177	3,956	80,863	288	1,752
	Median	114,979	6,800	4,500	1,890	55,000	2,110	847	5,806	13	350
	Minimum	5,322	1	37	1	155	3	2	6	1	3
	Maximum	1,387,869	210,452	94,757	553,284	7,988,824	350,000	71,150	3,673,327	2,762	15,575

By Type		Volumes	MS	Arch.	Cartog.	Graphic	Audio	Video	Micro.	Comp.	Artif.
Canadian	n	11	9	6	9	6	7	9	5	0	3
	Mean	134,403	5,058	6,393	41,271	312,478	3,757	1,734	8,754	N/A	2,065
	Median	67,087	4,562	1,883	4,985	112,842	1,000	237	9,962	N/A	100
	Minimum	17,000	1,095	366	39	2,000	3	2	35	N/A	95
	Maximum	600,000	10,200	22,000	319,771	1,300,000	19,700	12,893	19,627	N/A	6,000
Private	n	27	27	21	19	19	18	16	16	6	20
	Mean	248,213	21,531	10,875	20,760	219,086	36,689	1,171	11,148	40	1,863
	Median	150,000	8,700	5,000	850	18,500	5,410	720	1,200	8	453
	Minimum	30,225	325	1,500	100	1,000	100	8	49	1	20
	Maximum	1,269,410	210,452	94,757	350,664	1,315,000	350,000	5,530	65,906	205	12,600
State	n	61	61	46	44	46	47	47	41	23	30
	Mean	170,519	11,164	6,335	24,352	622,579	19,363	5,330	116,863	352	1,647
	Median	100,000	6,800	4,750	2,228	87,840	1,600	1,250	9,532	19	224
	Minimum	5,322	1	37	1	155	6	6	6	1	3
	Maximum	1,387,869	95,574	22,762	553,284	7,988,824	280,000	71,150	3,673,327	2,762	15,575

By Group		Volumes	MS	Arch.	Cartog.	Graphic	Audio	Video	Micro.	Comp.	Artif.
Group 1	n	18	18	16	16	16	16	17	15	10	14
	Mean	462,528	39,226	19,341	65,748	1,295,872	29,912	2,538	46,209	312	2,206
	Median	327,935	25,577	15,500	6,579	264,391	8,223	2,200	13,768	71	1,021
	Minimum	92,618	367	1,500	1	350	6	12	7	1	3
	Maximum	1,387,869	210,452	94,757	553,284	7,988,824	175,000	9,298	225,000	2,269	10,937
Group 2	n	21	21	12	13	17	16	16	14	7	13
	Mean	202,937	7,558	5,647	5,631	372,822	9,527	7,337	25,677	16	1,643
	Median	180,620	6,800	4,115	2,908	133,960	2,951	833	1,421	3	400
	Minimum	35,000	1	200	1	155	46	6	6	1	59
	Maximum	548,086	20,500	22,762	26,217	2,529,105	72,545	71,150	110,000	74	15,575
Group 3	n	46	44	32	33	31	29	30	25	10	22
	Mean	117,043	9,047	5,045	21,392	241,592	33,120	3,777	157,807	507	1,663
	Median	90,028	7,375	4,750	1,000	60,000	3,000	950	9,532	14	300
	Minimum	5,322	10	400	40	208	3	2	15	1	40
	Maximum	500,000	41,400	12,000	319,771	1,565,000	350,000	30,000	3,673,327	2,762	12,600
Group 4	n	14	14	13	10	7	11	9	8	2	4
	Mean	43,619	3,216	1,500	626	16,410	480	1,220	1,965	27	1,010
	Median	29,904	1,765	1,630	547	13,491	238	200	400	27	760
	Minimum	7,862	63	37	39	764	8	8	35	3	20
	Maximum	114,979	15,634	3,496	2,090	35,753	1,500	6,875	9,962	50	2,500

Table 1 Notes

Calculations exclude responses with a reported value of "0"

ARL Statistics contains only the single category "Manuscripts and Archives." This survey created separate categories to distinguish institutions that count university archives as part of special collections from those that do not. This survey did not gather information about university archives that are not part of special collections.

Calculations for graphic and audio materials exclude several institutions that reported such holdings in linear feet (or hours of recording) rather than as item counts.

Respondents also reported a total of 63 "Other" collections, including: collections of realia, objects and artifacts (12); pamphlets (6); sheet music (6); photographs and photographic materials (5); broadsides (4); vertical files (4); architectural drawings (3); ephemera and scrapbooks (3); serials/periodicals (3); theses and dissertations (3); newspapers (2); institutional or government records (2); and misc., including scrolls, papyri, architectural structures, and drawings (10).

Because the survey instructed respondents not to count separately items that are "integral parts of manuscript or archival collections," large numbers of photographs, recordings, drawings, and other materials held by special collections are not accounted for in these measures.

Tables 2-5: Collections

2. Has your library established any special collections or significant collecting programs in special collections during the last 10 years?

	All Academic (n=99)		By Type						By Group							
			Canadian (n=11)		Private (n=27)		State (n=61)		Group 1 (n=18)		Group 2 (n=21)		Group 3 (n=46)		Group 4 (n=14)	
	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.
No	23	23%	5	45%	5	19%	13	21%	2	11%	2	10%	12	26%	7	50%
Yes	76	77%	6	55%	22	81%	48	79%	16	89%	19	90%	34	74%	7	50%

3. Is your library currently considering establishing any special collections or significant collecting programs in special collections?

	All Academic (n=99)		By Type						By Group							
			Canadian (n=11)		Private (n=27)		State (n=61)		Group 1 (n=18)		Group 2 (n=21)		Group 3 (n=46)		Group 4 (n=14)	
	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.
No	60	61%	8	73%	19	70%	33	54%	10	56%	13	62%	30	65%	7	50%
Yes	39	39%	3	27%	8	30%	28	46%	8	44%	8	38%	16	35%	7	50%

4. Has your library discontinued any significant collecting programs in special collections during the last ten years?

	All Academic (n=99)		By Type						By Group							
			Canadian (n=11)		Private (n=27)		State (n=61)		Group 1 (n=18)		Group 2 (n=21)		Group 3 (n=46)		Group 4 (n=14)	
	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.
No	77	78%	9	82%	21	78%	47	77%	13	72%	14	67%	39	85%	11	79%
Yes	22	22%	2	18%	6	22%	14	23%	5	28%	7	33%	7	15%	3	21%

5. Is your library currently considering discontinuing any significant collecting programs in special collections?

	All Academic (n=99)		By Type						By Group							
			Canadian (n=11)		Private (n=27)		State (n=61)		Group 1 (n=18)		Group 2 (n=21)		Group 3 (n=46)		Group 4 (n=14)	
	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.
No	93	94%	10	91%	26	96%	57	93%	17	94%	21	100%	42	91%	13	93%
Yes	6	6%	1	9%	1	4%	4	7%	1	6%	0	0%	4	9%	1	7%

Tables 2-5 Notes

Interpretations of the phrase “collections or significant collecting programs” clearly varied. In some cases, responses tended to reflect individual gifts and specific additions to existing collections.

Most responding institutions appear to have interpreted “discontinued” to mean closed collections, as well as the few that have actually been dismantled or deaccessioned.

Nearly 300 new collections or collections under consideration were listed by responding institutions (see Appendix 4). The most frequently cited reasons for initiating new collections were: gift (40%); mixed/varied reasons (14%); and suggestions from special collections personnel (12%).

Tables 6-7: Collections

6. Does your library have a formal collection development policy (or policies) for special collections? (Yes; No; Some special collections only)

	All Academic (n=99)		By Type						By Group							
			Canadian (n=11)		Private (n=27)		State (n=61)		Group 1 (n=18)		Group 2 (n=21)		Group 3 (n=46)		Group 4 (n=14)	
	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.
No	17	17%	2	18%	5	19%	10	16%	3	17%	4	19%	8	17%	2	14%
Yes	54	55%	7	64%	14	52%	33	54%	6	33%	12	57%	27	59%	9	64%
Some	28	28%	2	18%	8	30%	18	30%	9	50%	5	24%	11	24%	3	21%

7. Are special collections addressed in a library-wide collection development policy, or in the policies of most other library units?

	All Academic (n=99)		By Type						By Group							
			Canadian (n=11)		Private (n=27)		State (n=61)		Group 1 (n=18)		Group 2 (n=21)		Group 3 (n=46)		Group 4 (n=14)	
	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.
No	55	56%	6	55%	15	56%	34	56%	5	28%	12	57%	27	59%	11	79%
Yes	43	43%	5	45%	12	44%	26	43%	12	67%	9	43%	19	41%	3	21%
UA	1	1%	0	0%	0	0%	1	2%	1	6%	0	0%	0	0%	0	0%

Table 8: Collections

8. During the last fiscal year, approximately what percentage of special collections materials (by type: Volumes; Manuscripts) was acquired through each of the following sources? (*i.e.*, What percentage of new volumes was purchased? Received as gifts? Transferred?) [Possible responses: Purchased—University or State Appropriations; Purchased—Endowment or Gift funds; Gifts in Kind; Transferred from General Collections; Other. Responses for Volumes and Manuscripts should each total 100%.]

All Academic	Volumes							Manuscripts						
	n		Approp.	Endow.	Gift	Transf.	Other	n		Approp.	Endow.	Gift	Transf.	Other
	92	Mean	34.9%	29.1%	28.5%	6.8%	0.8%	87	Mean	8.6%	13.2%	75.2%	0.3%	2.7%
		Median	28.0%	20.0%	23.0%	3.5%	0.0%		Median	0.0%	2.0%	90.0%	0.0%	0.0%
		Minimum	0.0%	0.0%	0.0%	0.0%	0.0%		Minimum	0.0%	0.0%	0.0%	0.0%	0.0%
		Maximum	95.0%	100.0%	98.0%	95.0%	37.0%		Maximum	99.8%	100.0%	100.0%	20.0%	98.0%

By Type	Volumes							Manuscripts						
	n		Approp.	Endow.	Gift	Transf.	Other	n		Approp.	Endow.	Gift	Transf.	Other
Canadian	10	Mean	35.9%	10.8%	47.3%	6.0%	0.0%	10	Mean	8.2%	8.1%	74.2%	2.0%	7.5%
		Median	23.0%	4.0%	46.5%	2.5%	0.0%		Median	0.0%	0.5%	80.0%	0.0%	0.0%
		Minimum	0.0%	0.0%	5.0%	0.0%	0.0%		Minimum	0.0%	0.0%	25.0%	0.0%	0.0%
		Maximum	95.0%	50.0%	98.0%	23.0%	0.0%		Maximum	40.0%	60.0%	100.0%	20.0%	75.0%
Private	26	Mean	16.9%	44.0%	30.6%	7.1%	1.5%	25	Mean	10.4%	22.0%	67.1%	0.2%	0.4%
		Median	8.5%	34.5%	33.0%	4.5%	0.0%		Median	0.0%	10.0%	85.0%	0.0%	0.0%
		Minimum	0.0%	0.0%	0.0%	0.0%	0.0%		Minimum	0.0%	0.0%	0.0%	0.0%	0.0%
		Maximum	94.0%	95.0%	85.0%	28.0%	37.0%		Maximum	67.0%	100.0%	100.0%	2.0%	10.0%
State	56	Mean	43.1%	25.4%	24.2%	6.8%	0.6%	52	Mean	7.8%	9.9%	79.3%	0.0%	2.9%
		Median	40.0%	14.5%	20.0%	2.0%	0.0%		Median	0.0%	0.0%	95.0%	0.0%	0.0%
		Minimum	0.0%	0.0%	0.0%	0.0%	0.0%		Minimum	0.0%	0.0%	0.0%	0.0%	0.0%
		Maximum	95.0%	100.0%	83.5%	95.0%	15.0%		Maximum	99.8%	99.0%	100.0%	0.5%	98.0%

By Group	Volumes							Manuscripts						
	n		Approp.	Endow.	Gift	Transf.	Other	n		Approp.	Endow.	Gift	Transf.	Other
Group 1	15	Mean	26.4%	35.8%	28.0%	9.7%	0.1%	15	Mean	16.5%	15.4%	62.8%	0.3%	5.0%
		Median	25.0%	25.0%	29.0%	9.0%	0.0%		Median	5.0%	5.0%	65.0%	0.0%	0.0%
		Minimum	0.0%	7.0%	3.0%	0.0%	0.0%		Minimum	0.0%	0.0%	20.0%	0.0%	0.0%
		Maximum	61.0%	86.0%	65.0%	26.0%	1.0%		Maximum	70.0%	60.0%	99.0%	2.0%	75.0%
Group 2	21	Mean	41.7%	32.0%	22.2%	3.4%	0.7%	20	Mean	7.6%	21.2%	71.0%	0.0%	0.3%
		Median	40.0%	20.0%	20.0%	2.0%	0.0%		Median	1.0%	5.0%	89.5%	0.0%	0.0%
		Minimum	0.0%	0.0%	0.0%	0.0%	0.0%		Minimum	0.0%	0.0%	0.0%	0.0%	0.0%
		Maximum	85.0%	95.0%	60.0%	23.0%	13.0%		Maximum	35.0%	100.0%	100.0%	0.0%	5.0%
Group 3	42	Mean	29.6%	31.6%	30.8%	7.6%	0.4%	41	Mean	6.0%	10.8%	79.3%	0.0%	3.9%
		Median	22.5%	25.0%	23.5%	4.0%	0.0%		Median	0.0%	2.0%	93.0%	0.0%	0.0%
		Minimum	0.0%	0.0%	0.0%	0.0%	0.0%		Minimum	0.0%	0.0%	0.2%	0.0%	0.0%
		Maximum	94.0%	100.0%	98.0%	95.0%	15.0%		Maximum	99.8%	99.0%	100.0%	0.0%	98.0%
Group 4	14	Mean	49.9%	9.7%	31.6%	6.1%	2.6%	11	Mean	9.0%	4.5%	84.6%	1.8%	0.0%
		Median	51.0%	3.0%	17.5%	1.5%	0.0%		Median	0.0%	0.0%	98.0%	0.0%	0.0%
		Minimum	0.0%	0.0%	3.0%	0.0%	0.0%		Minimum	0.0%	0.0%	0.0%	0.0%	0.0%
		Maximum	95.0%	90.0%	84.0%	28.0%	37.0%		Maximum	50.0%	50.0%	100.0%	20.0%	0.0%

Table 8 Notes

Three institutions specifically reported acquiring no manuscript materials in 1996–97.

Four institutions reported acquiring print volumes through “other” sources, including: processing of backlogs; transfer agreement with a university-administered program; deposit program with the university’s press; and one unspecified source.

Five institutions reported acquiring manuscript materials through “other” sources, including: collections transferred as part of an institutional records management program (3 institutions); collections placed on loan; and one unspecified source.

Table 9: Special Collections Materials

9. Do you know of clear trends in this pattern over the last ten years? For each category in question 8 (Purchased—University or State Appropriations; Purchased—Endowment or Gift Funds; Gifts in Kind; Transferred from General Collections; Other) use: No change; Increased; Decreased; or Don't Know.

All Academic (n=99)		Same		Incr.		Decr.		Don't Know		UA	
Approp.	Freq.	38	23	23	12	3					
	Pct.	38%	23%	23%	12%	3%					
Endow.	Freq.	24	60	3	10	2					
	Pct.	24%	61%	3%	10%	2%					
In Kind	Freq.	31	45	8	14	1					
	Pct.	31%	45%	8%	14%	1%					
Transf.	Freq.	40	37	7	12	3					
	Pct.	40%	37%	7%	12%	3%					
Other	Freq.	18	1	0	9	71					
	Pct.	18%	1%	0%	9%	72%					

By Type	Canadian (n=11)						Private (n=27)						State (n=61)					
	Same	Incr.	Decr.	Don't Know	UA		Same	Incr.	Decr.	Don't Know	UA		Same	Incr.	Decr.	Don't Know	UA	
Approp.	Freq.	2	2	4	2	1	16	6	2	3	0		20	15	17	7	2	
	Pct.	18%	18%	36%	18%	9%	59%	22%	7%	11%	0%		33%	25%	28%	11%	3%	
Endow.	Freq.	4	4	0	2	1	8	18	0	1	0		12	38	3	7	1	
	Pct.	36%	36%	0%	18%	9%	30%	67%	0%	4%	0%		20%	62%	5%	11%	2%	
In Kind	Freq.	2	7	0	2	0	8	12	4	3	0		21	26	4	9	1	
	Pct.	18%	64%	0%	18%	0%	30%	44%	15%	11%	0%		34%	43%	7%	15%	2%	
Transf.	Freq.	5	3	1	2	0	12	12	1	2	0		23	22	5	8	3	
	Pct.	45%	27%	9%	18%	0%	44%	44%	4%	7%	0%		38%	36%	8%	13%	5%	
Other	Freq.	1	0	0	1	9	6	1	0	2	18		11	0	0	6	44	
	Pct.	9%	0%	0%	9%	82%	22%	4%	0%	7%	67%		18%	0%	0%	10%	72%	

By Group	Group 1 (n=18)						Group 2 (n=21)						Group 3 (n=46)						Group 4 (n=14)					
	Same	Incr.	Decr.	Don't Know	UA		Same	Incr.	Decr.	Don't Know	UA		Same	Incr.	Decr.	Don't Know	UA		Same	Incr.	Decr.	Don't Know	UA	
Approp.	Freq.	8	4	2	3	1	8	7	2	3	1		16	8	16	5	1		6	4	3	1	0	
	Pct.	44%	22%	11%	17%	6%	38%	33%	10%	14%	5%		35%	17%	35%	11%	2%		43%	29%	21%	7%	0%	
Endow.	Freq.	3	11	0	3	1	4	15	1	1	0		13	27	1	4	1		4	7	1	2	0	
	Pct.	17%	61%	0%	17%	6%	19%	71%	5%	5%	0%		28%	59%	2%	9%	2%		29%	50%	7%	14%	0%	
In Kind	Freq.	5	7	2	3	1	7	8	2	4	0		13	25	3	5	0		6	5	1	2	0	
	Pct.	28%	39%	11%	17%	6%	33%	38%	10%	19%	0%		28%	54%	7%	11%	0%		43%	36%	7%	14%	0%	
Transf.	Freq.	8	5	0	4	1	9	8	1	2	1		17	21	2	5	1		6	3	4	1	0	
	Pct.	44%	28%	0%	22%	6%	43%	38%	5%	10%	5%		37%	46%	4%	11%	2%		43%	21%	29%	7%	0%	
Other	Freq.	5	0	0	3	10	1	1	0	0	19		8	1	0	5	32		4	0	0	0	10	
	Pct.	28%	0%	0%	17%	56%	5%	5%	0%	0%	90%		17%	2%	0%	11%	70%		29%	0%	0%	0%	71%	

Table 9 Notes

Many institutions appear to have responded on the basis of absolute changes in the amount of material acquired through each source, rather than indicating shifts in relative reliance upon one source over another. For example, 39 institutions reported an increase in one or more accession category without reporting an offsetting decrease in another; three institutions reported decreases in one or more categories without a corresponding increase elsewhere.

Data cannot be used to ascertain comparable levels of absolute support among institutions. A trend toward decreased expenditures for one institution, for example, may still result in a considerably greater dollar amount than for another institution that has increased purchase levels over the past 10 years.

Table 10: Special Collections Materials

10. Do special collections participate in any cooperative collection development arrangements with the following types of institutions (Local/Regional Institution; Other institutions in state system; Other institutions nationally; Foreign institutions)?
Use: No arrangements; Informal arrangements; Formal arrangements.

		Local/Regional				State				National				Foreign			
		None	Inf.	Form.	UA	None	Inf.	Form.	UA	None	Inf.	Form.	UA	None	Inf.	Form.	UA
All Academic (n=99)																	
	Freq.	32	58	7	2	55	35	5	4	67	24	6	2	82	12	3	2
	Pct.	32%	59%	7%	2%	56%	35%	5%	4%	68%	24%	6%	2%	83%	12%	3%	2%

		Local/Regional				State				National				Foreign			
		None	Inf.	Form.	UA	None	Inf.	Form.	UA	None	Inf.	Form.	UA	None	Inf.	Form.	UA
By Type																	
Canadian (n=11)	Freq.	2	9	0	0	2	9	0	0	5	6	0	0	8	3	0	0
	Pct.	18%	82%	0%	0%	18%	82%	0%	0%	45%	55%	0%	0%	73%	27%	0%	0%
Private (n=27)	Freq.	7	20	0	0	23	2	0	2	20	7	0	0	24	3	0	0
	Pct.	26%	74%	0%	0%	85%	7%	0%	7%	74%	26%	0%	0%	89%	11%	0%	0%
State (n=61)	Freq.	23	29	7	2	30	24	5	2	42	11	6	2	50	6	3	2
	Pct.	38%	48%	11%	3%	49%	39%	8%	3%	69%	18%	10%	3%	82%	10%	5%	3%

		Local/Regional				State				National				Foreign			
		None	Inf.	Form.	UA	None	Inf.	Form.	UA	None	Inf.	Form.	UA	None	Inf.	Form.	UA
By Group																	
Group 1 (n=18)	Freq.	4	12	2	0	6	8	3	1	8	6	4	0	12	5	1	0
	Pct.	22%	67%	11%	0%	33%	44%	17%	6%	44%	33%	22%	0%	67%	28%	6%	0%
Group 2 (n=21)	Freq.	6	11	3	1	14	5	1	1	15	4	1	1	19	1	0	1
	Pct.	29%	52%	14%	5%	67%	24%	5%	5%	71%	19%	5%	5%	90%	5%	0%	5%
Group 3 (n=46)	Freq.	14	29	2	1	27	16	1	2	33	11	1	1	38	5	2	1
	Pct.	30%	63%	4%	2%	59%	35%	2%	4%	72%	24%	2%	2%	83%	11%	4%	2%
Group 4 (n=14)	Freq.	8	6	0	0	8	6	0	0	11	3	0	0	13	1	0	0
	Pct.	57%	43%	0%	0%	57%	43%	0%	0%	79%	21%	0%	0%	93%	7%	0%	0%

Table 11: Type of Access

11. Approximately what percentage of special collections (Volumes; Manuscripts; University Archives; Cartographic Materials; Graphic Materials; Audio Materials; Video and film; Microforms; Computer files; Artifacts) has each of the following types of access: Unprocessed/ Uncataloged; Card Catalog/Manual Finding Aid; MARC Record (OPAC or Bib. Utility); Machine-Readable Finding Aid; Internet Finding Aid? Some materials may have more than one type of access.

		All Academic					Canadian					By Type					State				
												Private									
		Uncat	Card	MARC	Mach	I'Net	Uncat	Card	MARC	Mach	I'Net	Uncat	Card	MARC	Mach	I'Net	Uncat	Card	MARC	Mach	I'Net
Vols.	n	87	70	90			9	8	10			24	17	24			54	45	56		
	Mean	15%	49%	73%			11%	22%	77%			15%	54%	74%			16%	52%	71%		
	Med	10%	56%	80%			10%	13%	78%			8%	70%	75%			10%	60%	80%		
	Min	0%	0%	0%			0%	0%	40%			0%	0%	8%			0%	0%	0%		
	Max	88%	100%	100%			20%	80%	100%			60%	97%	100%			88%	100%	100%		
MS	n	82	74	68	62	64	7	7	5	5	6	25	23	20	20	21	50	44	43	37	37
	Mean	27%	65%	46%	31%	16%	16%	71%	30%	21%	6%	27%	58%	55%	33%	24%	29%	68%	45%	32%	13%
	Med	25%	70%	49%	25%	5%	10%	80%	10%	10%	4%	25%	60%	60%	28%	10%	29%	73%	46%	25%	5%
	Min	0%	0%	0%	0%	0%	5%	15%	0%	0%	1%	5%	0%	0%	3%	0%	0%	0%	0%	0%	0%
	Max	100%	100%	99%	90%	90%	50%	95%	90%	60%	15%	60%	95%	95%	90%	90%	100%	100%	99%	85%	70%
Arch.	n	71	62	54	54	46	7	6	6	6	5	19	16	15	17	13	45	40	33	31	28
	Mean	31%	54%	29%	36%	16%	19%	63%	38%	61%	20%	27%	49%	19%	41%	23%	34%	55%	32%	28%	11%
	Med	25%	60%	15%	30%	1%	10%	70%	20%	73%	1%	20%	50%	10%	40%	8%	30%	60%	20%	20%	0%
	Min	0%	0%	0%	0%	0%	0%	15%	0%	5%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	Max	90%	100%	100%	100%	100%	60%	90%	100%	100%	85%	80%	90%	95%	90%	90%	90%	100%	100%	90%	100%
Cartog.	n	52	52	45	30	28	5	7	5	5	5	15	13	11	7	6	32	32	29	18	17
	Mean	24%	69%	36%	15%	7%	11%	68%	24%	14%	2%	22%	66%	49%	16%	13%	27%	71%	33%	15%	6%
	Med	10%	89%	15%	0%	0%	10%	75%	10%	10%	1%	10%	80%	50%	0%	0%	10%	95%	10%	0%	0%
	Min	0%	0%	0%	0%	0%	0%	1%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	Max	100%	100%	100%	100%	100%	20%	100%	60%	25%	10%	100%	100%	100%	100%	80%	100%	100%	100%	100%	100%
Graph.	n	62	58	44	53	34	8	6	6	9	4	16	15	8	15	8	38	37	30	29	22
	Mean	36%	49%	33%	32%	12%	25%	55%	32%	23%	6%	33%	60%	44%	36%	28%	40%	44%	30%	32%	8%
	Med	30%	50%	13%	15%	0%	20%	55%	20%	20%	5%	23%	75%	45%	15%	21%	39%	40%	10%	10%	0%
	Min	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	Max	100%	100%	100%	100%	97%	75%	100%	100%	95%	15%	100%	100%	95%	100%	80%	100%	100%	99%	100%	97%
Audio.	n	54	56	45	38	27	5	6	6	4	2	17	15	10	9	5	32	35	29	25	20
	Mean	37%	51%	37%	28%	7%	7%	60%	39%	10%	0%	44%	47%	50%	31%	16%	37%	51%	31%	30%	5%
	Med	20%	55%	25%	10%	0%	5%	85%	25%	5%	0%	30%	36%	50%	10%	0%	20%	60%	10%	10%	0%
	Min	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	5%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	Max	100%	100%	100%	100%	40%	20%	95%	95%	30%	0%	100%	100%	95%	100%	40%	90%	100%	100%	100%	30%
Video	n	56	51	48	37	27	7	5	7	5	3	16	13	11	7	4	33	33	30	25	20
	Mean	35%	52%	43%	31%	9%	8%	75%	64%	21%	0%	38%	53%	57%	24%	5%	40%	48%	32%	36%	11%
	Med	20%	50%	20%	10%	0%	5%	90%	90%	0%	0%	23%	50%	75%	0%	0%	20%	50%	9%	15%	0%
	Min	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	Max	100%	100%	100%	100%	90%	25%	100%	100%	75%	0%	100%	100%	100%	100%	20%	100%	100%	100%	100%	90%
Micro.	n	39	49	46	28	23	5	6	5	4	3	10	9	10	7	4	24	34	31	17	16
	Mean	13%	60%	67%	21%	7%	3%	42%	67%	29%	33%	33%	62%	79%	29%	3%	8%	63%	63%	16%	3%
	Med	5%	85%	83%	1%	0%	0%	25%	75%	8%	0%	10%	90%	93%	5%	0%	5%	80%	75%	0%	0%
	Min	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	Max	100%	100%	100%	100%	100%	15%	100%	100%	100%	100%	100%	100%	100%	100%	10%	30%	100%	100%	100%	20%
Comp. File	n	27	22	27	19	17	4	4	4	4	4	6	3	4	2	2	17	15	19	13	11
	Mean	29%	21%	43%	3%	0%	3%	23%	0%	0%	0%	37%	27%	44%	0%	0%	32%	20%	52%	4%	0%
	Med	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	10%	0%	38%	0%	0%	0%	0%	90%	0%	0%
	Min	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	Max	100%	100%	100%	50%	0%	10%	90%	0%	0%	0%	100%	80%	100%	0%	0%	100%	100%	100%	50%	0%
Artif.	n	52	47	34	31	25	5	5	4	3	3	15	15	7	10	6	32	27	23	18	16
	Mean	46%	58%	15%	20%	3%	62%	38%	1%	0%	0%	56%	59%	14%	24%	5%	39%	61%	18%	21%	3%
	Med	38%	70%	0%	0%	0%	75%	25%	0%	0%	0%	50%	60%	0%	0%	0%	25%	80%	0%	0%	0%
	Min	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	Max	100%	100%	100%	100%	40%	100%	100%	5%	0%	0%	100%	100%	80%	100%	30%	100%	100%	100%	100%	40%

Table 11: Type of Access (continued)

		By Group																			
		Group 1					Group 2					Group 3					Group 4				
		Uncat	Card	MARC	Mach	I'Net	Uncat	Card	MARC	Mach	I'Net	Uncat	Card	MARC	Mach	I'Net	Uncat	Card	MARC	Mach	I'Net
Vols.	n	17	14	15			20	17	21			37	31	40			13	8	14		
	Mean	16%	52%	64%			12%	65%	70%			16%	43%	75%			15%	31%	81%		
	Med	10%	61%	70%			5%	80%	80%			10%	30%	80%			10%	18%	85%		
	Min	1%	0%	8%			1%	3%	18%			0%	0%	0%			0%	0%	30%		
	Max	80%	97%	90%			60%	100%	96%			88%	100%	100%			40%	90%	100%		
MS	n	15	14	12	11	9	17	14	16	12	13	36	35	31	27	30	14	11	9	12	12
	Mean	25%	70%	47%	21%	19%	25%	68%	52%	30%	19%	26%	63%	44%	32%	16%	35%	60%	43%	40%	13%
	Med	17%	76%	38%	20%	10%	15%	73%	49%	20%	5%	28%	70%	40%	30%	4%	30%	70%	50%	33%	8%
	Min	5%	10%	10%	2%	1%	5%	20%	4%	0%	0%	0%	0%	0%	0%	0%	5%	0%	0%	1%	0%
	Max	90%	95%	95%	65%	65%	56%	100%	90%	90%	90%	62%	100%	99%	80%	75%	100%	95%	99%	85%	50%
Arch.	n	13	11	9	9	7	14	13	14	13	13	31	29	23	22	19	13	9	8	10	7
	Mean	22%	61%	22%	39%	11%	25%	50%	28%	36%	26%	34%	60%	31%	38%	15%	39%	32%	32%	30%	3%
	Med	20%	70%	5%	25%	10%	18%	65%	18%	30%	0%	30%	60%	20%	40%	1%	45%	30%	33%	25%	0%
	Min	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	2%	0%	0%	0%	0%
	Max	80%	100%	100%	100%	30%	75%	95%	90%	90%	90%	80%	100%	100%	90%	100%	90%	90%	95%	88%	15%
Cartog.	n	13	11	9	6	6	10	11	11	5	5	24	25	19	16	14	5	5	6	3	3
	Mean	22%	75%	34%	6%	2%	7%	87%	39%	4%	20%	32%	58%	33%	18%	6%	25%	75%	38%	37%	0%
	Med	5%	85%	15%	0%	0%	6%	97%	35%	4%	0%	20%	80%	10%	0%	0%	10%	90%	13%	10%	0%
	Min	0%	1%	5%	0%	0%	0%	25%	0%	0%	0%	0%	0%	0%	0%	0%	0%	5%	0%	0%	0%
	Max	100%	100%	100%	25%	10%	25%	100%	100%	10%	100%	100%	100%	98%	100%	80%	95%	100%	100%	100%	0%
Graph.	n	13	11	9	12	8	13	12	10	11	5	30	28	21	23	17	6	7	4	7	4
	Mean	22%	56%	47%	28%	19%	36%	55%	12%	35%	4%	42%	47%	41%	31%	11%	40%	37%	13%	35%	13%
	Med	10%	80%	40%	15%	6%	28%	59%	2%	15%	0%	50%	40%	20%	10%	0%	34%	40%	1%	30%	0%
	Min	0%	0%	0%	0%	0%	5%	1%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	Max	87%	100%	99%	90%	80%	99%	100%	50%	100%	15%	100%	100%	100%	100%	97%	80%	100%	50%	70%	50%
Audio.	n	11	12	9	8	6	14	12	12	9	6	24	26	20	18	13	5	6	4	3	2
	Mean	40%	55%	46%	5%	3%	33%	59%	31%	42%	15%	39%	44%	40%	30%	6%	29%	58%	14%	35%	0%
	Med	20%	78%	50%	1%	0%	18%	85%	15%	35%	13%	34%	41%	35%	10%	0%	20%	70%	3%	10%	0%
	Min	0%	0%	0%	0%	0%	0%	5%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	Max	100%	100%	100%	15%	15%	78%	100%	95%	100%	40%	100%	100%	100%	100%	40%	80%	100%	50%	95%	0%
Video	n	12	12	11	7	6	13	10	12	8	5	26	23	20	18	12	5	6	5	4	4
	Mean	19%	62%	48%	4%	5%	47%	59%	34%	33%	5%	39%	39%	47%	39%	8%	22%	70%	33%	43%	23%
	Med	10%	78%	40%	0%	0%	58%	80%	14%	23%	0%	23%	20%	34%	34%	0%	10%	90%	5%	35%	0%
	Min	0%	0%	0%	0%	0%	5%	2%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	Max	100%	100%	100%	20%	30%	100%	100%	100%	100%	20%	100%	100%	100%	100%	85%	60%	100%	100%	100%	90%
Micro.	n	8	11	11	6	6	7	10	9	5	3	19	22	19	14	11	5	6	7	3	3
	Mean	8%	48%	70%	18%	18%	14%	79%	63%	8%	0%	17%	58%	66%	24%	5%	8%	61%	71%	33%	0%
	Med	8%	40%	75%	3%	0%	4%	98%	85%	0%	0%	5%	68%	80%	6%	0%	2%	67%	98%	0%	0%
	Min	0%	0%	0%	0%	0%	0%	10%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	5%	0%	0%
	Max	30%	100%	100%	100%	100%	75%	100%	100%	25%	0%	100%	100%	100%	100%	20%	30%	100%	100%	98%	0%
Comp. File	n	8	7	9	6	5	5	3	5	3	2	9	9	10	7	7	5	3	3	3	3
	Mean	21%	24%	63%	8%	0%	20%	33%	60%	0%	0%	33%	11%	30%	0%	0%	40%	33%	0%	0%	0%
	Med	1%	0%	90%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	10%	10%	0%	0%	0%
	Min	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
	Max	100%	90%	100%	50%	0%	100%	100%	100%	0%	0%	100%	100%	100%	0%	0%	100%	90%	0%	0%	0%
Artif.	n	12	12	8	7	5	9	10	8	6	3	25	22	16	15	15	6	3	2	3	2
	Mean	69%	54%	6%	13%	0%	28%	90%	23%	33%	0%	43%	41%	17%	18%	5%	39%	83%	0%	25%	0%
	Med	74%	50%	0%	0%	0%	25%	95%	6%	5%	0%	20%	23%	0%	0%	0%	38%	100%	0%	0%	0%
	Min	5%	0%	0%	0%	0%	5%	65%	0%	0%	0%	0%	0%	0%	0%	0%	0%	50%	0%	0%	0%
	Max	100%	100%	33%	90%	0%	90%	100%	75%	100%	0%	100%	100%	100%	100%	40%	100%	100%	0%	75%	0%

Table 11 Notes

Totals ("n") in many categories includes blank responses. No attempt was made to interpret blank responses, although it is likely that institutions were unable to calculate many of the percentages in question, or that missing responses indicate true values of 0% (in which case, mean and median percentages in certain categories could be considerably lower than those shown).

Tables 12-13: Organization/Administration

12. What is the title of the highest administrative position for special collections?

	All Academic (n=99)		By Type						By Group							
			Canadian (n=11)		Private (n=27)		State (n=61)		Group 1 (n=18)		Group 2 (n=21)		Group 3 (n=46)		Group 4 (n=14)	
	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.
Unit/Dept. Head	69	70%	9	82%	16	59%	44	72%	9	50%	17	81%	30	65%	13	93%
AUL/DUL	23	23%	2	18%	8	30%	13	21%	5	28%	3	14%	14	30%	1	7%
Other	6	6%	0	0%	2	7%	4	7%	3	17%	1	5%	2	4%	0	0%
UA	1	1%	0	0%	1	4%	0	0%	1	6%	0	0%	0	0%	0	0%

13. What is the title of the position to whom this person reports?

	All Academic (n=99)		By Type						By Group							
			Canadian (n=11)		Private (n=27)		State (n=61)		Group 1 (n=18)		Group 2 (n=21)		Group 3 (n=46)		Group 4 (n=14)	
	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.
Unit/Dept. Head	2	2%	1	9%	1	4%	0	0%	0	0%	0	0%	2	4%	0	0%
AUL/DUL	45	46%	4	36%	13	48%	28	46%	7	39%	10	48%	20	44%	8	57%
Univ. Libn.	46	46%	5	45%	10	37%	31	51%	8	44%	10	48%	22	48%	6	43%
Other	4	4%	1	9%	1	4%	2	3%	2	11%	0	0%	2	4%	0	0%
UA	2	2%	0	0%	2	7%	0	0%	1	6%	1	5%	0	0%	0	0%

Tables 12-13 Notes

Responses reflect difficulties encountered with lack of standardized titles, failure to supply specific titles, and failure to supply organization charts. Data should be considered essentially inconclusive.

Six institutions reported “Other” positions with highest administrative responsibility for special collections: four reflect local organizational structures or terminology (“coordinator” or “team leader”) and two report that this responsibility resides with the library director.

Two institutions report that the chief administrator for special collections reports outside the library to an academic administrator.

Table 14: Organization/Administration

14. Indicate FTE special collections staff for each category (Permanent Professional, Support, and Student; Grant-Funded Professional, Support, and Student; Volunteer/Intern):

All Academic		Permanent FTE			Grant FTE			Permanent + Grant FTE			Student FTE	Vol./Int.
		Prof.	Supp.	Total	Prof.	Supp.	Total	Prof.	Supp.	Total		
	n	99	98	98	97	96	96	97	95	95	94	86
	Mean	7.22	6.76	14.02	0.53	0.58	1.11	7.77	7.36	15.23	5.03	0.80
	Median	4.00	4.00	8.50	0.00	0.00	0.00	4.50	4.00	9.00	2.65	0.23
	Minimum	0.05	0.00	0.05	0.00	0.00	0.00	0.05	0.00	0.05	0.00	0.00
	Maximum	57.59	107.30	150.05	5.00	12.00	14.00	61.69	111.30	154.05	31.00	9.10

By Type		Permanent FTE			Grant FTE			Permanent + Grant FTE			Student FTE	Vol./Int.
		Prof.	Supp.	Total	Prof.	Supp.	Total	Prof.	Supp.	Total		
Canadian	n	11	11	11	11	10	10	11	10	10	10	9
	Mean	3.84	4.30	8.14	0.25	0.25	0.47	4.09	4.88	9.07	1.65	1.14
	Median	4.00	3.00	6.50	0.00	0.00	0.10	4.00	3.85	8.10	1.50	1.00
	Minimum	1.00	1.00	2.00	0.00	0.00	0.00	1.00	1.00	2.00	0.00	0.00
	Maximum	8.20	12.00	16.95	1.00	1.00	2.00	8.20	12.00	17.45	5.00	4.00
Private	n	27	26	26	26	26	26	26	25	25	24	24
	Mean	10.30	7.91	18.49	0.87	0.56	1.43	11.41	8.68	20.43	5.52	0.68
	Median	5.00	5.00	10.25	0.00	0.00	0.75	5.00	5.00	12.00	3.75	0.23
	Minimum	2.00	0.00	2.00	0.00	0.00	0.00	2.00	0.00	2.00	0.25	0.00
	Maximum	57.59	38.11	95.70	5.00	3.00	8.00	61.69	41.00	100.30	20.05	3.00
State	n	61	61	61	60	60	60	60	60	60	60	53
	Mean	6.47	6.71	13.18	0.43	0.64	1.07	6.86	7.23	14.09	5.40	0.80
	Median	4.00	4.00	8.00	0.00	0.00	0.00	4.25	4.00	8.38	3.00	0.07
	Minimum	0.05	0.00	0.05	0.00	0.00	0.00	0.05	0.00	0.05	0.00	0.00
	Maximum	42.75	107.30	150.05	4.50	12.00	14.00	42.75	111.30	154.05	31.00	9.10

By Group		Permanent FTE			Grant FTE			Permanent + Grant FTE			Student FTE	Vol./Int.
		Prof.	Supp.	Total	Prof.	Supp.	Total	Prof.	Supp.	Total		
Group 1	n	18	18	18	17	17	17	17	17	17	17	14
	Mean	16.84	18.58	35.43	1.48	1.77	3.25	18.78	20.62	39.40	8.35	1.67
	Median	9.75	9.75	23.21	1.00	0.50	1.10	11.75	9.50	26.30	6.00	1.00
	Minimum	4.06	0.00	4.50	0.00	0.00	0.00	4.06	0.25	4.75	0.35	0.00
	Maximum	57.59	107.30	150.05	5.00	12.00	14.00	61.69	111.30	154.05	29.50	9.10
Group 2	n	21	20	20	21	21	21	21	20	20	20	18
	Mean	6.49	4.93	11.59	0.48	0.29	0.76	6.97	5.23	12.39	6.01	0.79
	Median	5.00	4.00	9.08	0.00	0.00	0.50	5.50	4.00	10.58	2.38	0.23
	Minimum	0.05	0.00	0.05	0.00	0.00	0.00	0.05	0.00	0.05	0.00	0.00
	Maximum	19.50	14.00	31.50	2.50	1.50	2.50	19.50	15.00	32.00	31.00	4.00
Group 3	n	46	46	46	45	44	44	45	44	44	43	40
	Mean	5.17	4.40	9.57	0.34	0.42	0.76	5.54	4.93	10.53	4.57	0.67
	Median	4.00	3.50	7.9	0.00	0.00	0	4	4	8.38	3.50	0.25
	Minimum	1.00	1.00	2	0.00	0.00	0	1	1	2.00	0.00	0.00
	Maximum	14.50	12.00	25	2.50	10.00	11	15.5	14	29.50	16.50	5.00
Group 4	n	14	14	14	14	14	14	14	14	14	14	14
	Mean	2.71	1.89	4.61	0.03	0.07	0.10	2.74	1.96	4.71	1.03	0.31
	Median	2.75	1.75	4	0.00	0.00	0	2.75	2	4.09	0.88	0.00
	Minimum	0.50	0.00	1	0.00	0.00	0	0.5	0	1.00	0.00	0.00
	Maximum	6.00	5.00	9	0.20	1.00	1	6.2	5	9.00	2.20	2.00

Table 14 Notes

As with *ARL Statistics*, it was understood that criteria for distinguishing professional from support staff vary by institution. Institutions querying this part of the survey were instructed to answer so as to reflect local classifications.

“Total permanent FTE,” “Total grant FTE,” and “Total FTE” were calculated based on the figures provided by each institution for professional and support staff. Totals omit institutions for which one or more data component was unavailable.

Several respondents were uncertain how to account for student FTE when the number of student employees frequently varies. These institutions were instructed to calculate an average or typical level of student assistance. Student FTE includes students paid from both permanent lines and grant funds.

While the survey requested information about “Permanent Volunteer/intern” and “Grant-funded Volunteer/Intern” FTE, this distinction is not meaningful. For purposes of analysis, these responses have been added together into a single category. Although 86 institutions completed the “volunteer/intern” category part of the questionnaire, 39 institutions reported 0 FTE in this category. The mean for the remaining 47 institutions was 1.46 volunteer/intern FTE.

Tables 15-16: Organization/Administration

15. Over the past ten years, has the number of permanent special collections positions generally "Remained constant," "Increased," or "Decreased"?

	All Academic (n=99)		By Type						By Group							
			Canadian (n=11)		Private (n=27)		State (n=61)		Group 1 (n=18)		Group 2 (n=21)		Group 3 (n=46)		Group 4 (n=14)	
	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.
Constant	25	25%	2	18%	6	22%	17	28%	7	39%	6	29%	9	20%	3	21%
Increased	47	47%	3	27%	15	56%	29	48%	5	28%	12	57%	24	52%	6	43%
Decreased	27	27%	6	55%	6	22%	15	25%	6	33%	3	14%	13	28%	5	36%
Total	99	100%	11	100%	27	100%	61	100%	18	100%	21	100%	46	100%	14	100%

16. Approximately how many full- or part-time positions (not FTE) in special collections do you expect to recruit for during the next 3-5 years?

	All Academic	By Type			By Group			
		Canadian	Private	State	Group 1	Group 2	Group 3	Group 4
n	94	9	27	58	17	20	45	12
Mean	1.7	1.1	2.1	1.6	3.2	1.8	1.2	1.3
Median	1	1	1	1	3	1	1	0.5
Minimum	0	0	0	0	0	0	0	0
Maximum	12	3	12	8	12	6	6	8

Table 16 Notes

It was left to responding libraries to define “professional” on the basis of the criteria used locally. This decision is consistent with the reporting conventions for *ARL Statistics*, but is likely to result in some variation from one institution to the next.

Instructions requested the number of individual positions, rather than FTE. In the case of four institutions, decimal figures (suggesting FTE projections) were rounded up to the next whole number as a conservative minimum for the number of discrete positions in question.

Table 17: Organization/Administration

17. Indicate whether the following processing functions (Ordering/Acquisitions; Cataloging; Shelf Preparation) for most special collections materials are performed by: Special Collections; Other library unit; or Special Collections shared with another unit. Disregard minor or atypical workflows. [Respond for: Books/Print materials; Archives/Manuscripts; Other Formats.]

All Academic (n=99)		Ordering/Acquisitions				Cataloging				Shelf Preparation			
		SC	Other	Share	UA	SC	Other	Share	UA	SC	Other	Share	UA
	Books/Print	31	17	48	3	22	48	26	3	54	21	22	2
		31%	17%	48%	3%	22%	48%	26%	3%	55%	21%	22%	2%
	Arch/MS	73	5	15	6	72	4	17	6	91	2	2	4
		74%	5%	15%	6%	73%	4%	17%	6%	92%	2%	2%	4%
	Other	54	8	20	17	55	10	17	17	71	6	7	15
		55%	8%	20%	17%	56%	10%	17%	17%	72%	6%	7%	15%

By Type		Ordering/Acquisitions				Cataloging				Shelf Preparation			
		SC	Other	Share	UA	SC	Other	Share	UA	SC	Other	Share	UA
Canadian (n=11)	Books	3	2	6	0	3	7	1	0	6	3	2	0
		27%	18%	55%	0%	27%	64%	9%	0%	55%	27%	18%	0%
	Arch/MS	9	0	1	1	9	1	0	1	10	0	0	1
		82%	0%	9%	9%	82%	9%	0%	9%	91%	0%	0%	9%
Private (n=27)	Other	5	2	2	2	5	2	2	2	6	2	1	2
		45%	18%	18%	18%	45%	18%	18%	18%	55%	18%	9%	18%
	Books	9	5	12	1	9	10	7	1	18	4	4	1
		33%	19%	44%	4%	33%	37%	26%	4%	67%	15%	15%	4%
State (n=61)	Arch/MS	22	1	2	2	23	0	2	2	25	0	1	1
		81%	4%	7%	7%	85%	0%	7%	7%	93%	0%	4%	4%
	Other	18	1	2	6	18	0	4	5	21	0	1	5
		67%	4%	7%	22%	67%	0%	15%	19%	78%	0%	4%	19%
	Books	19	10	30	2	10	31	18	2	30	14	16	1
		31%	16%	49%	3%	16%	51%	30%	3%	49%	23%	26%	2%
	Arch/MS	42	4	12	3	40	3	15	3	56	2	1	2
		69%	7%	20%	5%	66%	5%	25%	5%	92%	3%	2%	3%
	Other	31	5	16	9	32	8	11	10	44	4	5	8
		51%	8%	26%	15%	52%	13%	18%	16%	72%	7%	8%	13%

By Group		Ordering/Acquisitions				Cataloging				Shelf Preparation			
		SC	Other	Share	UA	SC	Other	Share	UA	SC	Other	Share	UA
Group 1 (n=18)	Books	4	2	10	2	4	6	6	2	8	3	5	2
		22%	11%	56%	11%	22%	33%	33%	11%	44%	17%	28%	11%
	Arch/MS	12	0	4	2	11	1	4	2	15	0	1	2
		67%	0%	22%	11%	61%	6%	22%	11%	83%	0%	6%	11%
Group 2 (n=21)	Other	9	1	5	3	10	2	3	3	11	2	2	3
		50%	6%	28%	17%	56%	11%	17%	17%	61%	11%	11%	17%
	Books	8	4	9	0	6	9	6	0	14	1	6	0
		38%	19%	43%	0%	29%	43%	29%	0%	67%	5%	29%	0%
Group 3 (n=46)	Arch/MS	17	1	2	1	19	0	1	1	20	0	0	1
		81%	5%	10%	5%	90%	0%	5%	5%	95%	0%	0%	5%
	Other	10	2	4	5	12	1	2	6	14	1	1	5
		48%	10%	19%	24%	57%	5%	10%	29%	67%	5%	5%	24%
Group 4 (n=14)	Books	17	9	20	0	9	25	12	0	27	11	8	0
		37%	20%	43%	0%	20%	54%	26%	0%	59%	24%	17%	0%
	Arch/MS	35	3	7	1	34	2	8	2	43	1	1	1
		76%	7%	15%	2%	74%	4%	17%	4%	93%	2%	2%	2%
	Other	28	4	8	6	27	6	8	5	37	2	2	5
		61%	9%	17%	13%	59%	13%	17%	11%	80%	4%	4%	11%
	Books	2	2	9	1	3	8	2	1	5	6	3	0
		14%	14%	64%	7%	21%	57%	14%	7%	36%	43%	21%	0%
	Arch/MS	9	1	2	2	8	1	4	1	13	1	0	0
		64%	7%	14%	14%	57%	7%	29%	7%	93%	7%	0%	0%
	Other	7	1	3	3	6	1	4	3	9	1	2	2
		50%	7%	21%	21%	43%	7%	29%	21%	64%	7%	14%	14%

Tables 18-19: Organization/Administration

18. Does any group external to your library (*e.g.*, faculty committees, boards) currently have specific governance or advisory responsibilities regarding special collections?

	All Academic (n=99)		By Type						By Group							
			Canadian (n=11)		Private (n=27)		State (n=61)		Group 1 (n=18)		Group 2 (n=21)		Group 3 (n=46)		Group 4 (n=14)	
	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.
No	64	65%	9	82%	18	67%	37	61%	8	44%	12	57%	32	70%	12	86%
Yes	35	35%	2	18%	9	33%	24	39%	10	56%	9	43%	14	30%	2	14%

19. Do most special collections have a current multi-year or long-range plan?

	All Academic (n=99)		By Type						By Group							
			Canadian (n=11)		Private (n=27)		State (n=61)		Group 1 (n=18)		Group 2 (n=21)		Group 3 (n=46)		Group 4 (n=14)	
	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.
No	51	52%	6	55%	14	52%	31	51%	9	50%	12	57%	24	52%	6	43%
Yes	47	47%	5	45%	12	44%	30	49%	9	50%	9	43%	21	46%	8	57%
UA	1	1%	0	0%	1	4%	0	0%	0	0%	0	0%	1	2%	0	0%

Table 18 Notes

In all, supporting information was provided for 47 groups. **Composition:** 24 (51 %) comprised a combination of faculty members and university administrators and frequently included librarians; 8 (17%) were bodies external to the institution (*e.g.*, a local historical society or corporate board); 2 (4%) were bodies with state-mandated statutory or other legal authority. **Responsibility:** In 26 cases (55%), the group had responsibility for specific individual collections within special collections; in most other cases, the extent of authority was unclear. **Authority:** In 10 cases (21 %), the group clearly held governance authority, as in the power to allocate funding, set policy, or manage collections; 16 groups (34%) were described as advisory; the remainder were not described or were ambiguous.

Table 20: Organization/Administration

20. For each position (Library development officer/dept.; Special Collections development officer/dept.; Special Collections head; Special Collections curators/librarians/archivists; University development office; University Librarian/Library Director; Other), indicate the level of involvement in fundraising for special collections. Use: None; Low; Moderate; High. If the position does not exist at your library, use N/A.

All Academic (n=99)	None	Low	Mod.	High	N/A	UA
Lib. Devt. Officer	2 2%	19 19%	23 23%	29 29%	25 25%	1 1%
Spec. Coll. Devt. Officer	10 10%	0 0%	1 1%	1 1%	86 87%	1 1%
Spec. Coll. Head	4 4%	18 18%	34 34%	40 40%	3 3%	0 0%
Spec. Coll. Personnel	14 14%	34 34%	28 28%	15 15%	5 5%	3 3%
Univ. Devt. Office	20 20%	49 49%	24 24%	5 5%	0 0%	1 1%
Univ. Librarian/Director	5 5%	28 28%	39 39%	26 26%	0 0%	1 1%
Other	12 12%	5 5%	3 3%	4 4%	13 13%	62 63%

By Type	Canadian (n=11)						Private (n=27)						State (n=61)					
	None	Low	Mod.	High	N/A	UA	None	Low	Mod.	High	N/A	UA	None	Low	Mod.	High	N/A	UA
Lib. Devt. Officer	0 0%	2 18%	3 27%	3 27%	3 27%	0 0%	1 4%	2 7%	7 26%	8 30%	8 30%	1 4%	1 2%	15 25%	13 21%	18 30%	14 23%	0 0%
Spec. Coll. Devt. Officer	2 18%	0 0%	0 0%	0 0%	9 82%	0 0%	1 4%	0 0%	1 4%	0 0%	25 93%	0 0%	7 11%	0 0%	0 0%	1 2%	52 85%	1 2%
Spec. Coll. Head	2 18%	4 36%	1 9%	4 36%	0 0%	0 0%	0 0%	2 7%	12 44%	13 48%	0 0%	0 0%	2 3%	12 20%	21 34%	23 38%	3 5%	0 0%
Spec. Coll. Personnel	2 18%	3 27%	2 18%	2 18%	1 9%	1 9%	2 7%	11 41%	7 26%	5 19%	1 4%	1 4%	10 16%	20 33%	19 31%	8 13%	3 5%	1 2%
Univ. Devt. Office	1 9%	5 45%	4 36%	1 9%	0 0%	0 0%	1 4%	15 56%	8 30%	3 11%	0 0%	0 0%	18 30%	29 48%	12 20%	1 2%	0 0%	1 2%
Univ. Librarian/Director	1 9%	4 36%	3 27%	3 27%	0 0%	0 0%	1 4%	5 19%	10 37%	10 37%	0 0%	1 4%	3 5%	19 31%	26 43%	13 21%	0 0%	0 0%
Other	2 18%	0 0%	1 9%	0 0%	2 18%	6 55%	1 4%	0 0%	0 0%	1 4%	2 7%	23 85%	9 15%	5 8%	2 3%	3 5%	9 15%	33 54%

By Group	Group 1 (n=18)						Group 2 (n=21)						Group 3 (n=46)						Group 4 (n=14)					
	None	Low	Mod.	High	N/A	UA	None	Low	Mod.	High	N/A	UA	None	Low	Mod.	High	N/A	UA	None	Low	Mod.	High	N/A	UA
Lib. Devt. Officer	1 6%	3 17%	8 44%	5 28%	1 6%	0 0%	0 0%	5 24%	4 19%	9 43%	3 14%	0 0%	1 2%	8 17%	8 17%	12 26%	16 35%	1 2%	0 0%	3 21%	3 21%	3 21%	5 36%	0 0%
Spec. Coll. Devt. Officer	2 11%	0 0%	1 6%	1 6%	14 78%	0 0%	1 5%	0 0%	0 0%	0 0%	19 90%	1 5%	4 9%	0 0%	0 0%	0 0%	42 91%	0 0%	3 21%	0 0%	0 0%	0 0%	11 79%	0 0%
Spec. Coll. Head	0 0%	1 6%	7 39%	10 56%	0 0%	0 0%	0 0%	3 14%	7 33%	10 48%	1 5%	0 0%	2 4%	10 22%	16 35%	17 37%	1 2%	0 0%	2 14%	4 29%	4 29%	3 21%	1 7%	0 0%
Spec. Coll. Personnel	1 6%	4 22%	8 44%	4 22%	0 0%	1 6%	1 5%	9 43%	9 43%	2 10%	0 0%	0 0%	10 22%	14 30%	11 24%	8 17%	3 7%	0 0%	2 14%	7 50%	0 0%	1 7%	2 14%	2 14%
Univ. Devt. Office	2 11%	9 50%	4 22%	2 11%	0 0%	1 6%	4 19%	12 57%	5 24%	0 0%	0 0%	0 0%	10 22%	23 50%	11 24%	2 4%	0 0%	0 0%	4 29%	5 36%	4 29%	1 7%	0 0%	0 0%
Univ. Librarian/Director	1 6%	5 28%	9 50%	3 17%	0 0%	0 0%	1 5%	3 14%	9 43%	8 38%	0 0%	0 0%	1 2%	14 30%	18 39%	12 26%	0 0%	1 2%	2 14%	6 43%	3 21%	3 21%	0 0%	0 0%
Other	3 17%	1 6%	2 11%	0 0%	2 11%	10 56%	1 5%	2 10%	0 0%	1 5%	4 19%	13 62%	4 9%	1 2%	1 2%	3 7%	5 11%	32 70%	4 29%	1 7%	0 0%	0 0%	2 14%	7 50%

Table 21: Organization/Administration

21. For each position (Library development officer/dept.; Special Collections development officer/dept.; Special Collections head; Special Collections curators/librarians/archivists; University development office; University Librarian/Library Director; and Other), indicate the level of involvement in other development activities for special collections. Use: None; Low; Moderate; or High. If the position does not exist at your institution, use N/A.

All Academic (n=99)	None	Low	Mod.	High	N/A	UA
Lib. Devt. Office	8 8%	40 40%	18 18%	7 7%	25 25%	1 1%
Spec. Coll. Devt. Office	9 9%	0 0%	1 1%	1 1%	8 88%	1 1%
Spec. Coll. Head	2 2%	10 10%	20 20%	64 65%	3 3%	0 0%
Spec. Coll. Personnel	3 3%	16 16%	29 29%	45 45%	5 5%	1 1%
Univ. Devt. Office	43 43%	50 51%	5 5%	0 0%	1 1%	0 0%
Univ. Librarian/Director	8 8%	45 45%	36 36%	10 10%	0 0%	0 0%
Other	9 9%	7 7%	10 10%	5 5%	11 11%	57 58%

By Type	Canadian (n=11)						Private (n=27)						State (n=61)					
	None	Low	Mod.	High	N/A	UA	None	Low	Mod.	High	N/A	UA	None	Low	Mod.	High	N/A	UA
Lib. Devt. Office	1 9%	3 27%	2 18%	2 18%	3 27%	0 0%	1 4%	14 52%	1 4%	2 7%	8 30%	1 4%	6 10%	23 38%	15 25%	3 5%	14 23%	0 0%
Spec. Coll. Devt. Office	1 9%	0 0%	0 0%	0 0%	10 91%	0 0%	1 4%	0 0%	1 4%	0 0%	25 93%	0 0%	7 11%	0 0%	0 0%	1 2%	52 85%	1 2%
Spec. Coll. Head	0 0%	2 18%	1 9%	8 73%	0 0%	0 0%	0 0%	1 4%	4 15%	22 81%	0 0%	0 0%	2 3%	7 11%	15 25%	34 56%	3 5%	0 0%
Spec. Coll. Personnel	0 0%	3 27%	5 45%	2 18%	1 9%	0 0%	0 0%	2 7%	10 37%	13 48%	1 4%	1 4%	3 5%	11 18%	14 23%	30 49%	3 5%	0 0%
Univ. Devt. Office	4 36%	4 36%	3 27%	0 0%	0 0%	0 0%	12 44%	15 56%	0 0%	0 0%	0 0%	0 0%	27 44%	31 51%	2 3%	1 2%	0 0%	0 0%
Univ. Librarian/Director	1 9%	5 45%	4 36%	1 9%	0 0%	0 0%	2 7%	13 48%	9 33%	3 11%	0 0%	0 0%	5 8%	27 44%	23 38%	6 10%	0 0%	0 0%
Other	1 9%	1 9%	1 9%	0 0%	2 18%	6 55%	1 4%	2 7%	1 4%	1 4%	2 7%	20 74%	7 11%	4 7%	8 13%	4 7%	7 11%	31 51%

By Group	Group 1 (n=18)						Group 2 (n=21)						Group 3 (n=46)						Group 4 (n=14)					
	None	Low	Mod.	High	N/A	UA	None	Low	Mod.	High	N/A	UA	None	Low	Mod.	High	N/A	UA	None	Low	Mod.	High	N/A	UA
Lib. Devt. Office	2 11%	6 33%	7 39%	2 11%	1 6%	0 0%	2 10%	12 57%	3 14%	1 5%	3 14%	0 0%	4 9%	15 33%	6 13%	4 9%	16 35%	1 2%	0 0%	7 50%	2 14%	0 0%	5 36%	0 0%
Spec. Coll. Devt. Office	2 11%	0 0%	1 6%	1 6%	14 78%	0 0%	1 5%	0 0%	0 0%	0 0%	19 90%	1 5%	4 9%	0 0%	0 0%	0 0%	42 91%	0 0%	2 14%	0 0%	0 0%	0 0%	12 86%	0 0%
Spec. Coll. Head	0 0%	2 11%	6 33%	10 56%	0 0%	0 0%	0 0%	5 24%	10 48%	81 38%	5 24%	0 0%	2 4%	11 24%	9 20%	30 65%	1 2%	0 0%	1 7%	2 14%	3 21%	7 50%	1 7%	0 0%
Spec. Coll. Personnel	0 0%	2 11%	8 44%	7 39%	0 0%	1 6%	0 0%	2 10%	6 29%	13 62%	0 0%	0 0%	1 2%	8 17%	11 24%	23 50%	3 7%	0 0%	2 14%	4 29%	4 29%	2 14%	2 14%	0 0%
Univ. Devt. Office	7 39%	10 56%	1 6%	0 0%	0 0%	0 0%	7 33%	14 67%	0 0%	0 0%	0 0%	0 0%	20 43%	21 46%	4 9%	1 2%	0 0%	0 0%	9 64%	5 36%	0 0%	0 0%	0 0%	0 0%
Univ. Librarian/Director	2 11%	8 44%	8 44%	0 0%	0 0%	0 0%	1 5%	11 52%	7 33%	2 10%	0 0%	0 0%	3 7%	21 46%	17 37%	5 11%	0 0%	0 0%	2 14%	5 36%	4 29%	3 21%	0 0%	0 0%
Other	2 11%	2 11%	3 17%	1 6%	1 6%	9 50%	1 5%	1 5%	2 10%	0 0%	4 19%	13 62%	4 9%	3 7%	4 9%	3 7%	4 9%	28 61%	2 14%	1 7%	1 7%	1 7%	2 14%	7 50%

Tables 20-21 Notes

Response categories within each question are not exclusive. An institution, for example, may have reported high levels of involvement on the part of two, three, or even all named positions.

Of the institutions that reported “other” involvement for fundraising (12 institutions) or other activities (22 institutions), only a few provided a description. Groups or individuals cited were: library administrators other than the director, general collections bibliographers, faculty members, Friends organizations, individual users, and administrative or governance bodies for special collections.

Tables 22-24: Facilities

22. Are any special collections materials housed in remote storage facilities?

	All Academic (n=99)		By Type						By Group							
			Canadian (n=11)		Private (n=27)		State (n=61)		Group 1 (n=18)		Group 2 (n=21)		Group 3 (n=46)		Group 4 (n=14)	
	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.
No	27	27%	3	27%	6	22%	18	30%	2	11%	4	19%	17	37%	4	29%
On-Campus	24	24%	4	36%	4	15%	16	26%	3	17%	5	24%	11	24%	5	36%
Off-Campus	29	29%	3	27%	13	48%	13	21%	6	33%	8	38%	11	24%	4	29%
On- and Off-Campus	19	19%	1	9%	4	15%	14	23%	7	39%	4	19%	7	15%	1	7%
Total	99	100%	11	100%	27	100%	61	100%	18	100%	21	100%	46	100%	14	100%

23. Have any special collections facilities been newly built or renovated in the last ten years?

	All Academic (n=99)		By Type						By Group							
			Canadian (n=11)		Private (n=27)		State (n=61)		Group 1 (n=18)		Group 2 (n=21)		Group 3 (n=46)		Group 4 (n=14)	
	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.
No	38	38%	6	55%	8	30%	24	39%	5	28%	8	38%	19	41%	6	43%
Yes	61	62%	5	45%	19	70%	37	61%	13	72%	13	62%	27	59%	8	57%
Total	99	100%	11	100%	27	100%	61	100%	18	100%	21	100%	46	100%	14	100%

24. Is your library planning to begin construction on any new special collections facilities within the next 2-3 years?

	All Academic (n=99)		By Type						By Group							
			Canadian (n=11)		Private (n=27)		State (n=61)		Group 1 (n=18)		Group 2 (n=21)		Group 3 (n=46)		Group 4 (n=14)	
	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.
No	62	63%	9	82%	17	63%	36	59%	7	39%	14	67%	34	74%	7	50%
Yes	37	37%	2	18%	10	37%	25	41%	11	61%	7	33%	12	26%	7	50%
Total	99	100%	11	100%	27	100%	61	100%	18	100%	21	100%	46	100%	14	100%

Tables 23-24 Notes

Of the 61 institutions reporting construction or renovation of special collections facilities, 58 institutions provided additional information about 73 projects; the 37 institutions planning special collections construction projects reported a total of 39 projects:

	Q23 Complete	Q24 Planned
New building constructed specifically and uniquely for special collections	7	3
New quarters for special collections within a new or existing building	20	11
Special collections storage space	15	9
Major renovations to existing special collections space	13	12
Minor renovations to existing special collections space	9	0
Construction of specific enhancements	3	0
Projects of indeterminate nature	6	4

“Minor renovations” include—in addition to projects identified by responding institutions as “minor” or “modest”—redecorations, rearrangements, and changes to HVAC, security, and handicapped accessibility features. This does not imply that such renovations are inexpensive, small-scale, or without disruption or benefit, but is intended to distinguish them from larger-scale projects resulting in a new or “like-new” space. The three specific enhancements were construction of a small display gallery, construction of a new conservation lab for special collections, and addition of a vault.

“Planned” projects reflect all phases of the planning process. While some projects were nearly complete at the time of the survey, others were reported as awaiting funding or still in early planning stages.

Table 25: Facilities

25. Are special collections facilities equipped with each of the following: Appropriate temperature and humidity control; Fire detection system; Fire suppression system; Building security system; Magnetic or electronic theft detection system; Electronic reading room surveillance; Closed stacks? Use: "All," "Most," "Some," or "No" facilities.

All Academic (n=99)	No	Some	Most	All	UA
Temp/Humidity	6 6%	30 30%	32 32%	31 31%	0 0%
Fire detection	6 6%	10 10%	17 17%	65 66%	1 1%
Fire suppression	25 25%	27 27%	14 14%	32 32%	1 1%
Building security	3 3%	15 15%	17 17%	63 64%	1 1%
Theft detection	57 58%	25 25%	7 7%	9 9%	1 1%
Surveillance	75 76%	9 9%	2 2%	12 12%	1 1%
Closed stacks	0 0%	7 7%	14 14%	77 78%	1 1%

By Type	Canadian (n=11)					Private (n=27)					State (n=61)				
	No	Some	Most	All	UA	No	Some	Most	All	UA	No	Some	Most	All	UA
Temp/Humidity	1 9%	4 36%	5 45%	1 9%	0 0%	1 4%	10 37%	6 22%	10 37%	0 0%	4 7%	16 26%	21 34%	20 33%	0 0%
Fire detection	0 0%	0 0%	1 9%	10 91%	0 0%	1 4%	5 19%	7 26%	14 52%	0 0%	5 8%	5 8%	9 15%	41 67%	1 2%
Fire suppression	2 18%	1 9%	1 9%	7 64%	0 0%	6 22%	9 33%	4 15%	8 30%	0 0%	17 28%	17 28%	9 15%	17 28%	1 2%
Building security	0 0%	1 9%	2 18%	8 73%	0 0%	0 0%	5 19%	5 19%	17 63%	0 0%	3 5%	9 15%	10 16%	38 62%	1 2%
Theft detection	5 45%	3 27%	1 9%	2 18%	0 0%	18 67%	5 19%	2 7%	1 4%	1 4%	34 56%	17 28%	4 7%	6 10%	0 0%
Surveillance	9 82%	0 0%	0 0%	2 18%	0 0%	15 56%	5 19%	2 7%	4 15%	1 4%	51 84%	4 7%	0 0%	6 10%	0 0%
Closed stacks	0 0%	2 18%	2 18%	7 64%	0 0%	0 0%	0 0%	1 4%	26 96%	0 0%	0 0%	5 8%	11 18%	44 72%	1 2%

By Group	Group 1 (n=18)					Group 2 (n=21)					Group 3 (n=46)					Group 4 (n=14)				
	No	Some	Most	All	UA	No	Some	Most	All	UA	No	Some	Most	All	UA	No	Some	Most	All	UA
Temp/Humidity	1 6%	5 28%	8 44%	4 22%	0 0%	1 5%	9 43%	6 29%	5 24%	0 0%	3 7%	13 28%	13 28%	17 37%	0 0%	1 7%	3 21%	5 36%	5 36%	0 0%
Fire detection	0 0%	3 17%	9 50%	6 33%	0 0%	2 10%	1 5%	3 14%	15 71%	0 0%	2 4%	5 11%	4 9%	34 74%	1 2%	2 14%	1 7%	1 7%	10 71%	0 0%
Fire suppression	2 11%	7 39%	5 28%	4 22%	0 0%	9 43%	6 29%	0 0%	6 29%	0 0%	10 22%	11 24%	7 15%	17 37%	1 2%	4 29%	3 21%	2 14%	5 36%	0 0%
Building security	0 0%	5 28%	4 22%	9 50%	0 0%	1 5%	1 5%	5 24%	14 67%	0 0%	1 2%	6 13%	6 13%	32 70%	2 2%	1 7%	3 21%	2 14%	8 57%	0 0%
Theft detection	7 39%	7 39%	2 11%	1 6%	1 6%	13 62%	4 19%	2 10%	2 10%	0 0%	27 59%	12 26%	2 4%	5 11%	0 0%	10 71%	2 14%	1 7%	1 7%	0 0%
Surveillance	12 67%	3 17%	2 11%	0 0%	1 6%	17 81%	1 5%	0 0%	3 14%	0 0%	35 76%	4 9%	0 0%	7 15%	0 0%	11 79%	1 7%	0 0%	2 14%	0 0%
Closed stacks	0 0%	0 0%	5 28%	13 72%	0 0%	0 0%	3 14%	2 10%	16 76%	0 0%	0 0%	4 9%	3 7%	38 83%	2 2%	0 0%	0 0%	4 29%	10 71%	0 0%

Tables 26-28: Facilities

26. Is availability of growth space for special collections materials: Not a significant problem; An upcoming problem (5-10 years); An imminent or current problem?

	All Academic (n=99)		By Type						By Group							
			Canadian (n=11)		Private (n=27)		State (n=61)		Group 1 (n=18)		Group 2 (n=21)		Group 3 (n=46)		Group 4 (n=14)	
	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.
Not a Problem	13	13%	0	0%	3	11%	10	16%	2	11%	2	10%	7	15%	2	14%
Upcoming	22	22%	4	36%	4	15%	14	23%	3	17%	4	19%	10	22%	5	36%
Imminent/Current	64	65%	7	64%	20	74%	37	61%	13	72%	15	71%	29	63%	7	50%

27. Is special collections workspace adequate? (Yes; Some areas or units only; No)

	All Academic (n=99)		By Type						By Group							
			Canadian (n=11)		Private (n=27)		State (n=61)		Group 1 (n=18)		Group 2 (n=21)		Group 3 (n=46)		Group 4 (n=14)	
	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.
No	29	29%	2	18%	9	33%	18	30%	4	22%	9	43%	13	28%	3	21%
Yes	34	34%	7	64%	7	26%	20	33%	4	22%	3	14%	22	48%	5	36%
Some	36	36%	2	18%	11	41%	23	38%	10	56%	9	43%	11	24%	6	43%

28. Is special collections public space adequate? (Yes; Some areas or units only; No)

	All Academic (n=99)		By Type						By Group							
			Canadian (n=11)		Private (n=27)		State (n=61)		Group 1 (n=18)		Group 2 (n=21)		Group 3 (n=46)		Group 4 (n=14)	
	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.
No	20	20%	1	9%	4	15%	15	25%	3	17%	3	14%	10	22%	4	29%
Yes	50	51%	8	73%	12	44%	30	49%	4	22%	9	43%	30	65%	7	50%
Some	29	29%	2	18%	11	41%	16	26%	11	61%	9	43%	6	13%	3	21%

Table 29: Expenditures

29. To help determine patterns in funding sources for special collections, complete the following. Of the totals reported for your library in the 1996-97 *ARL Statistics*, what were approximate expenditures in each category (Materials; Salaries and Wages; Misc., Binding, and Other Operating Expenditures) for special collections (by source: University/State appropriations; Restricted Endowment; Expendable or Cash Gifts; Grants; Other)?

Note: Because this question gathered information relating to both type of expenditure and source of funding, responses are presented below grouped in three ways: 1) Total special collections expenditures; 2) Special collections expenditures by type of expenditure; 3) Special collections expenditures by source of funds.

1. TOTAL SPECIAL COLLECTIONS EXPENDITURES

	All Academic	By Type			By Group			
		Canadian	Private	State	Group 1	Group 2	Group 3	Group 4
n	71	9	19	43	15	15	32	9
Mean	\$957,146	\$324,483	\$1,603,461	\$803,983	\$2,626,534	\$745,182	\$468,799	\$264,451
Med	\$506,631	\$306,312	\$603,022	\$542,900	\$1,973,944	\$603,022	\$395,893	\$215,980
Min	\$74,653	\$74,653	\$125,000	\$100,706	\$270,300	\$143,849	\$74,653	\$100,706
Max	\$9,077,000	\$681,402	\$9,077,000	\$6,071,019	\$9,077,000	\$1,753,323	\$1,381,778	\$681,402

Table 29: Expenditures (continued)

2. SPECIAL COLLECTIONS EXPENDITURES BY TYPE OF EXPENDITURE

		All Academic			By Type								
		Materials	Salaries	Other	Canadian			Private			State		
					Materials	Salaries	Other	Materials	Salaries	Other	Materials	Salaries	Other
Approp	n	88	86	74	10	10	9	24	24	19	54	52	46
	Mean	\$45,838	\$435,552	\$41,420	\$13,442	\$267,190	\$10,500	\$40,539	\$451,128	\$65,509	\$54,192	\$460,741	\$37,520
	Med	\$19,149	\$288,366	\$10,000	\$12,541	\$230,826	\$5,090	\$15,000	\$339,255	\$17,500	\$28,929	\$282,366	\$10,285
	Min	\$0	\$50,000	\$0	\$0	\$58,552	\$0	\$0	\$70,964	\$0	\$0	\$50,000	\$0
	Max	\$747,893	\$3,997,123	\$780,288	\$34,432	\$626,138	\$54,377	\$165,000	\$2,000,000	\$780,288	\$747,893	\$3,997,123	\$340,541
Endow	n	86	85	75	10	10	10	25	24	20	51	51	45
	Mean	\$114,229	\$44,930	\$32,520	\$9,963	\$0	\$2,457	\$295,983	\$131,825	\$102,028	\$45,578	\$12,848	\$8,309
	Med	\$12,886	\$0	\$0	\$612	\$0	\$0	\$50,000	\$0	\$794	\$8,065	\$0	\$0
	Min	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
	Max	\$4,500,000	\$2,400,000	\$1,400,000	\$73,190	\$0	\$21,957	\$4,500,000	\$2,400,000	\$1,400,000	\$517,000	\$216,749	\$122,768
Gift	n	80	84	73	10	10	10	23	24	20	47	50	43
	Mean	\$19,375	\$6,292	\$4,880	\$2,803	\$620	\$3,901	\$28,847	\$15,194	\$7,806	\$18,265	\$3,153	\$3,747
	Med	\$0	\$0	\$0	\$439	\$0	\$0	\$4,000	\$0	\$0	\$0	\$0	\$0
	Min	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
	Max	\$595,138	\$183,800	\$90,915	\$14,638	\$6,196	\$37,547	\$244,775	\$183,800	\$65,730	\$595,138	\$80,730	\$90,915
Grant	n	83	85	75	10	10	10	23	24	20	50	51	45
	Mean	\$3,855	\$20,516	\$7,157	\$8,593	\$6,880	\$191	\$2,793	\$25,278	\$13,812	\$3,395	\$20,949	\$5,748
	Med	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
	Min	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
	Max	\$80,509	\$344,728	\$200,000	\$80,509	\$41,740	\$1,907	\$44,235	\$200,000	\$200,000	\$67,000	\$344,728	\$69,710
Other	n	82	84	73	10	9	9	23	24	19	49	51	45
	Mean	\$1,084	\$2,460	\$9,843	\$73	\$4,465	\$7,319	\$65	\$1,239	\$1,646	\$1,769	\$2,682	\$13,808
	Med	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
	Min	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
	Max	\$29,861	\$39,272	\$415,125	\$732	\$21,152	\$65,871	\$1,500	\$29,742	\$31,278	\$29,861	\$39,272	\$415,125
Total	n	85	87	72	10	10	9	25	25	20	50	52	43
	Mean	\$209,723	\$547,936	\$107,909	\$34,874	\$278,707	\$25,095	\$409,702	\$726,316	\$222,984	\$144,703	\$513,951	\$71,719
	Med	\$59,000	\$326,141	\$32,578	\$20,465	\$253,891	\$5,122	\$133,826	\$378,000	\$56,248	\$59,500	\$317,000	\$32,156
	Min	\$1,812	\$50,000	\$0	\$1,976	\$58,552	\$3,870	\$9,050	\$70,964	\$0	\$1,812	\$50,000	\$0
	Max	\$4,508,000	\$4,258,615	\$1,405,000	\$155,895	\$645,167	\$91,924	\$4,508,000	\$3,165,953	\$1,405,000	\$920,000	\$4,258,615	\$989,391

Table 29: Expenditures (continued)

		By Group											
		Group 1			Group 2			Group 3			Group 4		
		Materials	Salaries	Other	Materials	Salaries	Other	Materials	Salaries	Other	Materials	Salaries	Other
Approp	n	13	13	13	20	19	16	43	41	35	12	13	10
	Mean	\$127,149	\$1,115,056	\$123,712	\$42,022	\$412,832	\$24,328	\$29,196	\$309,179	\$28,016	\$23,747	\$187,817	\$8,701
	Med	\$75,350	\$764,000	\$44,000	\$35,043	\$372,918	\$15,444	\$8,700	\$263,443	\$10,000	\$13,686	\$132,344	\$4,561
	Min	\$7,500	\$176,500	\$0	\$0	\$109,463	\$0	\$0	\$58,552	\$0	\$989	\$50,000	\$0
	Max	\$747,893	\$3,997,123	\$780,288	\$103,000	\$980,657	\$76,921	\$165,000	\$883,764	\$320,621	\$138,952	\$626,138	\$45,000
Endow	n	13	13	13	20	19	16	41	40	37	12	13	9
	Mean	\$549,909	\$249,826	\$160,703	\$78,420	\$21,410	\$17,726	\$26,199	\$4,067	\$1,720	\$2,695	\$140	\$290
	Med	\$136,675	\$10,667	\$21,056	\$35,500	\$0	\$1,294	\$8,000	\$0	\$0	\$50	\$0	\$0
	Min	\$5,123	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
	Max	\$4,500,000	\$2,400,000	\$1,400,000	\$517,000	\$216,749	\$115,465	\$151,101	\$61,582	\$21,957	\$14,579	\$1,825	\$2,608
Gift	n	13	13	13	18	19	16	38	39	35	11	13	9
	Mean	\$69,027	\$27,375	\$17,462	\$1,747	\$4,423	\$3,750	\$15,673	\$2,095	\$1,089	\$2,327	\$530	\$3,461
	Med	\$13,800	\$800	\$323	\$0	\$0	\$0	\$439	\$0	\$0	\$0	\$0	\$0
	Min	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
	Max	\$595,138	\$183,800	\$90,915	\$14,937	\$76,065	\$37,547	\$244,775	\$35,000	\$20,000	\$14,638	\$6,889	\$31,149
Grant	n	13	13	13	18	19	16	41	40	37	11	13	9
	Mean	\$4,322	\$69,082	\$11,070	\$0	\$16,446	\$21,013	\$6,433	\$12,290	\$1,480	\$0	\$3,211	\$212
	Med	\$0	\$12,662	\$2,000	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
	Min	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
	Max	\$50,420	\$344,728	\$48,555	\$0	\$100,000	\$200,000	\$80,509	\$117,080	\$20,000	\$0	\$41,740	\$1,907
Other	n	13	13	13	18	19	16	40	39	35	11	13	9
	Mean	\$4,632	\$6,684	\$37,192	\$0	\$2,991	\$6,760	\$705	\$1,127	\$2,680	\$45	\$1,464	\$3,674
	Med	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
	Min	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
	Max	\$29,861	\$39,272	\$415,125	\$0	\$32,821	\$76,875	\$12,950	\$29,742	\$65,871	\$500	\$19,029	\$30,850
Total	n	16	16	15	20	19	16	38	39	32	11	13	9
	Mean	\$751,911	\$1,447,843	\$358,863	\$122,014	\$458,102	\$73,576	\$79,588	\$340,767	\$32,986	\$30,114	\$193,162	\$17,083
	Med	\$363,929	\$1,168,807	\$143,100	\$87,545	\$377,000	\$62,855	\$51,245	\$277,815	\$13,464	\$16,500	\$132,344	\$9,650
	Min	\$36,229	\$176,500	\$8,064	\$5,000	\$109,463	\$2,000	\$1,976	\$58,552	\$0	\$1,812	\$50,000	\$0
	Max	\$4,508,000	\$4,258,615	\$1,405,000	\$517,500	\$1,138,936	\$234,000	\$603,895	\$1,018,994	\$320,621	\$157,271	\$645,167	\$45,000

Table 29 Notes

Only institutions that provided total materials, salaries, AND other expenditures were included in the calculation of overall statistics for the first table ("Total special collections expenditures").

Some institutions completed only certain sections of the grid provided. For example, some institutions gave only total expenditures for materials, salaries, and other categories, without providing a detailed analysis of expenditure sources. Conversely, some institutions completed certain detail sections of the grid (e.g., appropriated funds), but were unable to complete others and may or may not have provided a total expenditure figure. For these reasons, values for "n" vary considerably even within a single expenditure category.

U.S. dollar equivalents for Canadian dollar amounts were calculated as follows: "To determine figures in U.S. dollars, divide Canadian dollar amounts by 1.3663, the average monthly noon exchange rate published in the Bank of Canada *Review* for the period July 1996-June 1997." (*ARL Statistics 1996-97*, p. 77).

"Materials" and "Salaries and Wages" categories correspond to expenditure reporting conventions from *ARL Statistics*; "Miscellaneous, binding, and other operating expenditures" combines several ARL categories.

"Restricted endowment" was originally intended to designate endowment funds earmarked for special collections although, because no designation for "unrestricted endowment" was provided, most institutions included all endowment expenditures in this category. Only one institution reported listing unrestricted endowment funds with "other" sources. Some institutions may also have listed as "endowed" expenditures monies allocated by the institution from endowed sources, although no specific confirmation of this was reported by respondents.

Few institutions provided information about "other" sources of funds. Those that were specified include: user fees and fines; for-fee services (e.g., photo services, copying); royalty and other publication contract fees, funds from other departments, and insurance claims.

Table 30: Expenditures

30. Over the past ten years, have expenditures for special collections as a percentage of overall library expenditures generally:
Remained constant; Increased; Decreased; Do not know

	All Academic (n=99)		By Type						By Group							
			Canadian (n=11)		Private (n=27)		State (n=61)		Group 1 (n=18)		Group 2 (n=21)		Group 3 (n=46)		Group 4 (n=14)	
	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.
Constant	37	37%	4	36%	10	37%	23	38%	8	44%	6	29%	19	41%	4	29%
Increased	33	33%	1	9%	12	44%	20	33%	5	28%	8	38%	15	33%	5	36%
Decreased	14	14%	3	27%	3	11%	8	13%	0	0%	4	19%	7	15%	3	21%
Do Not Know	14	14%	3	27%	2	7%	9	15%	4	22%	3	14%	5	11%	2	14%
Missing	1	1%	0	0%	0	0%	1	2%	1	6%	0	0%	0	0%	0	0%

Table 31: Use and Users

31. Approximately how many onsite users in each category (Affiliated faculty; Affiliated graduate students; Affiliated undergraduates; Other campus affiliates (staff, librarians, etc.); Local community; Visiting academic researchers; Alumni; Other; Affiliation unknown) were served by special collections during the 1996-97 year? If none, enter "0."

All Academic		Campus affiliates				Local Community	Visiting Research	Alumni	Other	Unknown	TOTAL
		Faculty	Grad	Undergr.	Other						
	n	62	60	59	52	44	53	34	36	58	87
	Mean	261	664	943	170	409	528	146	435	2,024	3,696
	Med	169	307	600	106	108	110	69	168	922	2,280
	Min	5	17	29	0	2	10	0	0	0	152
	Max	1,277	5,966	5,936	630	2,800	3,840	1,000	4,000	13,500	16,070

By Type		Campus affiliates				Local Community	Visiting Research	Alumni	Other	Unknown	TOTAL
		Faculty	Grad	Undergr.	Other						
Canadian	n	3	3	3	3	3	2	3	2	7	7
	Mean	53	93	457	91	77	93	54	20	3,405	3,790
	Med	50	58	400	62	71	93	32	20	3,089	3,089
	Min	20	20	70	50	50	28	10	3	16	428
	Max	88	200	900	160	110	158	120	37	11,299	11,299
Private	n	22	22	22	19	15	20	14	11	11	26
	Mean	291	522	869	183	223	750	108	290	609	3,126
	Med	205	372	355	126	100	276	83	264	600	2,007
	Min	32	74	80	0	5	26	3	0	5	454
	Max	1,277	1,825	5,936	500	1,380	3,000	299	675	1,375	8,750
State	n	37	35	34	30	26	31	17	23	40	54
	Mean	261	803	1,034	170	555	413	194	541	2,171	3,958
	Med	150	310	684	106	323	83	52	119	1,000	2,282
	Min	5	17	29	0	2	10	0	0	0	152
	Max	1,099	5,966	3,680	630	2,800	3,840	1,000	4,000	13,500	16,070

By Group		Campus affiliates				Local Community	Visiting Research	Alumni	Other	Unknown	TOTAL
		Faculty	Grad	Undergr.	Other						
Group 1	n	13	12	12	11	10	12	7	10	11	15
	Mean	498	1,465	1,115	243	519	1,295	343	913	2,085	6,625
	Med	417	877	803	150	268	887	299	290	600	6,800
	Min	88	58	70	20	5	28	32	0	7	428
	Max	1,277	5,966	3,680	630	2,159	3,840	1,000	4,000	11,299	16,070
Group 2	n	16	16	16	13	11	15	6	6	10	18
	Mean	252	609	1,027	116	701	340	190	352	1,533	3,505
	Med	165	450	931	86	375	110	107	369	707	2,827
	Min	20	61	105	0	22	13	0	0	0	666
	Max	768	2,000	3,000	324	2,800	1,127	432	711	8,679	9,226
Group 3	n	22	21	21	17	16	18	12	11	27	41
	Mean	217	483	1,035	205	286	369	93	352	2,640	3,425
	Med	179	260	481	170	108	103	67	387	1,628	2,216
	Min	5	17	58	10	2	11	16	3	17	407
	Max	1,099	1,822	5,936	590	1,534	2,166	230	1,016	13,500	13,500
Group 4	n	11	11	10	11	7	8	9	9	10	13
	Mean	82	217	408	107	77	90	36	63	785	1,435
	Med	78	200	309	60	50	35	25	4	71	1,202
	Min	8	20	29	9	12	10	3	0	0	152
	Max	255	800	1,326	404	250	244	116	264	5,098	5,098

Table 31 Notes

The "n" for total users exceeds the "n" for individual categories because some institutions reported only totals.

Calculations exclude two institutions reporting over 85,000 total users each.

Seven institutions specifically noted that the data they provided excluded one or more individual special collections units.

Three institutions provided visitor or loan counts, but not counts of individual users. Because these counts were roughly comparable to the user counts provided by institutions with a similar profile, they have been included in calculations.

Table 32: Use and Users

32. Approximately how many telephone, fax, mail, or e-mail queries were received by special collections during the 1996-97 year? (If none, enter "0.")

	All Academic	By Type			By Group			
		Canadian	Private	State	Group 1	Group 2	Group 3	Group 4
n	82	6	25	51	15	19	35	13
Mean	2,643	987	2,773	2,773	5,049	2,314	2,563	560
Median	1,600	486	1,800	2,000	3,453	1,400	2,000	352
Minimum	5	100	150	5	190	5	25	100
Maximum	18,940	4,000	17,000	18,940	18,940	6,000	12,921	2,226

Tables 33-34: Use and Users

33. Over the past 10 years, has the number of courses or campus programs making use of special collections generally:
Increased; Remained the same; Decreased; Do not know.

	All Academic (n=99)		By Type						By Group							
			Canadian (n=11)		Private (n=27)		State (n=61)		Group 1 (n=18)		Group 2 (n=21)		Group 3 (n=46)		Group 4 (n=14)	
	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.
Increased	77	78%	7	64%	24	89%	46	75%	15	83%	17	81%	36	78%	9	64%
Same	16	16%	3	27%	3	11%	10	16%	2	11%	2	10%	8	17%	4	29%
Decreased	2	2%	0	0%	0	0%	2	3%	0	0%	1	5%	1	2%	0	0%
Do not know	2	2%	1	9%	0	0%	1	2%	0	0%	1	5%	0	0%	1	7%
UA	2	2%	0	0%	0	0%	2	3%	1	6%	0	0%	1	2%	0	0%

34. Does your library provide grants or other funding for researchers using special collections? (No; Yes; Planning to)

	All Academic (n=99)		By Type						By Group							
			Canadian (n=11)		Private (n=27)		State (n=61)		Group 1 (n=18)		Group 2 (n=21)		Group 3 (n=46)		Group 4 (n=14)	
	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.
No	68	69%	9	82%	18	67%	41	67%	6	33%	13	62%	37	80%	12	86%
Yes	18	18%	2	18%	7	26%	9	15%	10	56%	4	19%	2	4%	2	14%
Planning	13	13%	0	0%	2	7%	11	18%	2	11%	4	19%	7	15%	0	0%

Table 35: Use and Users

35. For each category, approximately how many presentations did special collections make during the 1996-97 year to groups through lectures, presentations, tours, or other formal activities? If none, enter "0." (Categories: Campus classes; Campus affiliates (*e.g.* , alumni, parents, staff); Local community (*e.g.* , Friends, genealogical societies, clubs, K-12); Visitors from other institutions, countries, *etc.*; Other.

All Academic		Classes	Affiliates	Community	Visitors	Other	Total
	n	89	87	87	86	87	94
	Mean	34	7	21	12	6	88
	Med	20	5	5	4	0	42
	Min	0	0	0	0	0	0
	Max	250	38	1,058	165	190	1,198

By Type		Classes	Affiliates	Community	Visitors	Other	Total
Canadian	n	9	8	8	8	9	10
	Mean	23	3	5	13	3	43
	Med	18	0	2	1	0	31
	Min	4	0	0	0	0	7
	Max	60	10	18	85	30	167
Private	n	24	23	23	23	22	25
	Mean	36	7	7	9	9	98
	Med	22	5	6	6	0	54
	Min	4	0	0	0	0	10
	Max	195	25	21	30	190	650
State	n	56	56	56	55	56	59
	Mean	35	8	29	12	5	91
	Med	20	6	5	3	0	45
	Min	0	0	0	0	0	0
	Max	250	38	1,058	165	104	1,198

By Group		Classes	Affiliates	Community	Visitors	Other	Total
Group 1	n	15	14	13	13	14	15
	Mean	70	14	22	23	12	175
	Med	54	10	14	22	2	141
	Min	12	0	0	3	0	53
	Max	195	38	64	75	83	650
Group 2	n	21	21	21	21	20	21
	Mean	34	5	60	12	6	117
	Med	21	3	10	3	0	38
	Min	0	0	0	0	0	0
	Max	135	22	1,058	165	104	1,198
Group 3	n	40	39	40	39	40	44
	Mean	29	8	7	10	5	66
	Med	17	6	5	4	0	43
	Min	0	0	0	0	0	0
	Max	250	25	24	85	190	315
Group 4	n	13	13	13	13	13	14
	Mean	7	3	2	4	1	18
	Med	5	1	2	1	0	13
	Min	0	0	0	0	0	1
	Max	28	16	11	35	5	56

Table 35 Notes

The "n" for Total users exceeds the "n" for individual categories because some institutions reported only totals.

"Other" groups included small walk-in groups, special courses, and a university advisory board.

Table 36: Use and Users

36. Approximately how many of the following did special collections produce in 1996-97? If a publication or exhibit appeared in both traditional and electronic format, count in both categories. (Categories: Major print publications; Exhibits; Electronic publications or exhibits.)

	All Academic			By Type								
				Canadian			Private			State		
	Print	Exhib.	Elect.	Print	Exhib.	Elect.	Print	Exhib.	Elect.	Print	Exhib.	Elect.
n	95	99	98	11	11	11	27	27	26	57	61	61
Mean	1	8	2	1	5	2	1	8	2	1	8	2
Median	1	6	1	0	4	1	1	6	2	1	6	1
Minimum	0	0	0	0	2	0	0	0	0	0	0	0
Maximum	10	52	13	7	9	5	9	32	6	10	52	13

	By Group											
	Group 1			Group 2			Group 3			Group 4		
	Print	Exhib.	Elect.	Print	Exhib.	Elect.	Print	Exhib.	Elect.	Print	Exhib.	Elect.
n	18	18	18	20	21	21	44	46	46	13	14	13
Mean	3	13	2	1	6	2	1	8	2	0	4	1
Median	2	8	3	0	4	1	0	6	1	0	4	0
Minimum	0	2	0	0	0	0	0	0	0	0	0	0
Maximum	9	52	6	5	19	5	10	33	13	2	10	5

Tables 37-38: Preservation/Conservation

37. If your library has a professionally trained paid conservator/s, how many FTE?

37b. How many FTE are devoted to activities related to special collections?

38. If other paid library staff perform treatment and repair of library materials, how many FTE?

38b. How many FTE are devoted to activities related to special collections?

All Academic	37. Prof. FTE		38. Other FTE	
	Total	Spec	Total	Spec
n	92	88	89	88
Mean	0.98	0.56	2.28	0.62
Median	0.75	0.03	1.00	0.11
Minimum	0.00	0.00	0.00	0.00
Maximum	9.00	8.00	18.50	11.25

By Type	Canadian				Private				State			
	37. Prof. FTE		38. Other FTE		37. Prof. FTE		38. Other FTE		37. Prof. FTE		38. Other FTE	
	Total	Spec	Total	Spec	Total	Spec	Total	Spec	Total	Spec	Total	Spec
n	10	9	10	9	27	26	27	27	55	53	52	52
Mean	0.70	0.39	0.94	0.04	1.24	0.72	3.04	0.77	0.91	0.51	2.14	0.64
Median	0.00	0.00	0.18	0.00	1.00	0.38	3.00	0.25	0.50	0.05	1.00	0.19
Minimum	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Maximum	2.00	2.00	7.00	0.20	5.49	3.78	10.78	4.00	9.00	8.00	18.50	11.25

By Group	Group 1				Group 2				Group 3				Group 4			
	37. Prof. FTE		38. Other FTE		37. Prof. FTE		38. Other FTE		37. Prof. FTE		38. Other FTE		37. Prof. FTE		38. Other FTE	
	Total	Spec	Total	Spec	Total	Spec	Total	Spec	Total	Spec	Total	Spec	Total	Spec	Total	Spec
n	18	16	17	18	19	19	19	19	43	41	41	39	12	12	12	12
Mean	2.39	1.68	4.43	1.71	0.93	0.41	1.92	0.38	0.55	0.28	2.03	0.35	0.50	0.25	0.66	0.21
Median	2.00	1.20	3.50	1.00	1.00	0.10	1.00	0.00	0.20	0.00	1.00	0.10	0.00	0.00	0.75	0.00
Minimum	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Maximum	9.00	8.00	18.50	11.25	3.50	2.00	6.40	1.60	3.00	2.00	10.60	2.00	2.00	1.50	1.80	1.00

Tables 37-38 Notes

"Professionally trained conservator" was intended to designate an individual who has completed a recognized graduate program leading to a Master's degree or its equivalent, or who has undergone a lengthy apprenticeship program involving both theoretical and practical knowledge.

For a number of institutions, these questions proved problematic. The first part of both questions was intended to count all conservation (or repair) FTE librarywide, including those working on special collections materials; the second part of the questions counted that subset of FTE devoted to activities involving special collections materials. A number of institutions provided responses that, given these definitions, were numerically impossible because special collections FTE exceeded librarywide FTE. Six institutions also furnished responses inconsistent with data from the *ARL Preservation Statistics 1996-97*. Cases that could not be clarified with the reporting institution were excluded from analysis.

Table 39: Preservation/Conservation

39. Approximately how many of the conservation treatments reported in the ARL *Preservation Statistics* (1996-97) involved special collections materials? (In-house treatments and contract treatments for: Volumes–Level 1; Volumes–Level 2; Volumes–Level 3; Unbound sheets; Photographs/non-paper items; Protective enclosures.)

All Academic		In-House						Contract					
		Level 1	Level 2	Level 3	Unb.	Non-Paper	Encl	Level 1	Level 2	Level 3	Unb.	Non-Paper	Encl
	n	75	76	70	68	69	74	74	75	69	70	69	69
	Mean	439	206	101	389	138	577	9	2	7	49	15	82
	Minimum	15	0	0	0	0	100	0	0	0	0	0	0
	Median	0	0	0	0	0	0	0	0	0	0	0	0
	Maximum	5,730	3,663	3,344	6,775	6,670	5,814	330	94	208	3,006	444	3,050

By Type		In-House						Contract					
		Level 1	Level 2	Level 3	Unb.	Non-Paper	Encl	Level 1	Level 2	Level 3	Unb.	Non-Paper	Encl
Canadian	n	8	8	8	8	8	9	8	9	9	9	9	8
	Mean	917	360	24	1,037	1	312	41	8	5	0.4	0.1	0
	Minimum	0	0	0	0	0	0	0	0	0	0	0	0
	Median	0	0	0	0	0	0	0	0	0	0	0	0
	Maximum	5,485	2,390	155	6,775	5	1,240	330	54	29	3	1	0
Private	n	19	20	16	18	17	20	19	19	15	17	17	16
	Mean	407	259	361	373	42	599	1	5	9	0.3	14	27
	Minimum	0	0	23	31	0	198	0	0	0	0	0	0
	Median	0	0	0	0	0	0	0	0	0	0	0	0
	Maximum	5,730	3,663	3,344	4,100	407	5,000	16	94	109	5	245	434
State	n	48	48	46	42	44	45	47	47	45	44	43	45
	Mean	373	158	24	272	199	621	7	0.1	6	78	18	116
	Median	18	7	0	2	0	72	0	0.0	0	0	0	0
	Minimum	0	0	0	0	0	0	0	0	0	0	0	0
	Maximum	2,854	2,583	249	3,217	6,670	5,814	325	5	208	3,006	444	3,050

By Group		In-House						Contract					
		Level 1	Level 2	Level 3	Unb.	Non-Paper	Encl	Level 1	Level 2	Level 3	Unb.	Non-Paper	Encl
Group 1	n	11	12	14	11	12	13	10	11	13	10	12	11
	Mean	1,182	123	181	558	121	1,146	0	9	10	0	37	136
	Median	292	29	32	140	5	257	0	0	0	0	0	0
	Minimum	0	0	0	0	0	26	0	0	0	0	0	0
	Maximum	5,485	489	1,798	3,148	866	5,000	0	94	109	1	444	525
Group 2	n	17	17	15	17	16	18	17	17	15	18	15	17
	Mean	413	224	22	445	26	545	1	0.3	0	0	0	200
	Median	0	3	0	0	0	86	0	0.0	0	0	0	0
	Minimum	0	0	0	0	0	0	0	0	0	0	0	0
	Maximum	5,730	2,583	127	4,100	312	3,000	10	5	0	0	0	3,050
Group 3	n	34	34	29	29	28	31	34	34	29	31	29	29
	Mean	309	230	139	199	272	348	10	2	11	111	20	22
	Median	13	0	0	0	0	80	0	0	0	0	0	0
	Minimum	0	0	0	0	0	0	0	0	0	0	0	0
	Maximum	2,776	3,663	3,344	3,217	6,670	3,000	325	54	208	3,006	345	432
Group 4	n	13	13	12	11	13	12	13	13	12	11	13	12
	Mean	186	194	13	633	0	604	25	0	0	0	0	9
	Median	0	0	0	0	0	0	0	0	0	0	0	0
	Minimum	0	0	0	0	0	0	0	0	0	0	0	0
	Maximum	1,752	2,390	155	6,775	0	5,814	330	0	3	0	0	111

Table 39 Notes

Varying values for “n” indicate partial responses from some institutions.

Nearly all institutions report “0” contract conservation treatments or that contract figures are unavailable. The number of institutions reporting use of contract services are as follows: Volumes—Level 1 (5); Volumes—Level 2 (6); Volumes—Level 3 (19); Unbound Sheets (5); Nonpaper/photos (6); Protective Enclosures (22). This table includes reported values of “0” when calculating means.

Calculations exclude cases where in-house plus contract treatments for special collections exceeded the total number of treatments reported for the institution as part of the *ARL Preservation Statistics 1996–97*.

Table 40: Preservation/Conservation

40. Of the contract conservation expenditures reported in the *ARL Preservation Statistics* (1996-97), approximately what (dollar) amount was for the treatment of special collections materials?

	All Academic	By Type			By Group			
		Canadian	Private	State	Group 1	Group 2	Group 3	Group 4
n	79	9	21	49	13	20	33	13
Mean	\$4,428	\$4,232	\$8,570	\$2,690	\$6,929	\$3,630	\$5,415	\$652
Median	\$0	\$0	\$0	\$0	\$2,548	\$0	\$225	\$0
Minimum	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Maximum	\$59,000	\$27,959	\$59,000	\$20,000	\$27,000	\$30,000	\$59,000	\$7,798

Table 41: Preservation/Conservation

41. Are preservation plans for electronic records held by special collections (check one only): Addressed by a library-wide policy; Addressed by a special collections policy; Addressed by a statewide or consortial policy; Being developed as part of a librarywide policy; Being developed as part of a special collections policy; Being developed as part of a statewide or consortial policy; Not currently being addressed; Other).

	All Academic (n=11)		By Type						By Group							
	Freq.	Pct.	Canadian (n=11)		Private (n=27)		State (n=61)		Group 1 (n=18)		Group 2 (n=21)		Group 3 (n=46)		Group 4 (n=14)	
Library policy	1	1%	0	0	0	0	1	2%	0	0	0	0	1	2%	0	0
State/consortial policy	1	1%	0	0	0	0	1	2%	1	6%	0	0	0	0	0	0
Developing library policy	25	25%	3	27%	11	41%	11	18%	4	22%	5	24%	14	30%	2	14%
Developing Spec. Coll. policy	7	7%	0	0	3	11%	4	7%	1	6%	4	19%	1	2%	1	7%
Developing state/consortial policy	6	6%	0	0	1	4%	5	8%	1	6%	1	5%	4	9%	0	0
Not Being Addressed	54	55%	7	64%	11	41%	36	59%	8	44%	11	52%	25	54%	10	71%
Other	4	4%	1	9%	1	4%	2	3%	2	11%	0	0	1	2%	1	7%
Missing	1	1%	0	0	0	0	1	2%	1	6%	0	0	0	0	0	0

Table 41 Notes

Although it was proposed as a response option, no institution selected “Addressed by a special collections policy.”

Four institutions report “other” situations: Involvement of special collections in developing and implementing a plan for university records in electronic format; a pilot project in the university archives; “Being addressed, but no policy;” and no electronic records in special collections.

Table 42: Preservation/Conservation

42. In addressing preservation and conservation needs, how would you characterize your library's program? Use: "Making progress," "Holding steady," or "Losing ground" (for both special and general collections). If your library does not perform an activity, use "N/A."

All Academic (n=99)		Special Collections										General Collections									
		Progress		Steady		Losing		N/A		UA		Progress		Steady		Losing		N/A		UA	
		Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.
	Preventive	46	46%	42	42%	10	10%	1	1%	0	0%	27	27%	41	41%	12	12%	3	3%	16	16%
	Reformat Paper	32	32%	25	25%	19	19%	23	23%	0	0%	28	28%	24	24%	14	14%	17	17%	16	16%
	Reformat Other	23	23%	25	25%	20	20%	30	30%	1	1%	9	9%	16	16%	18	18%	37	37%	19	19%
	Conservation	42	42%	35	35%	16	16%	6	6%	0	0%	25	25%	37	37%	17	17%	4	4%	16	16%

By Type		Special Collections										General Collections									
		Progress		Steady		Losing		N/A		UA		Progress		Steady		Losing		N/A		UA	
		Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.
Canadian (n=11)	Preventive	7	64%	2	18%	2	18%	0	0%	0	0%	4	36%	3	27%	2	18%	1	9%	1	9%
	Reformat Paper	4	36%	2	18%	3	27%	2	18%	0	0%	2	18%	2	18%	2	18%	4	36%	1	9%
	Reformat Other	4	36%	1	9%	3	27%	3	27%	0	0%	1	9%	2	18%	2	18%	5	45%	1	9%
	Conservation	6	55%	3	27%	2	18%	0	0%	0	0%	1	9%	6	55%	3	27%	0	0%	1	9%
Private (n=27)	Preventive	13	48%	11	41%	3	11%	0	0%	0	0%	7	26%	12	44%	4	15%	0	0%	4	15%
	Reformat Paper	11	41%	5	19%	6	22%	5	19%	0	0%	10	37%	7	26%	5	19%	1	4%	4	15%
	Reformat Other	6	22%	7	26%	6	22%	8	30%	0	0%	2	7%	5	19%	6	22%	8	30%	6	22%
	Conservation	17	63%	5	19%	4	15%	1	4%	0	0%	8	30%	9	33%	4	15%	2	7%	4	15%
State (n=61)	Preventive	26	43%	29	48%	5	8%	1	2%	0	0%	16	26%	26	43%	6	10%	2	3%	11	18%
	Reformat Paper	17	28%	18	30%	10	16%	16	26%	0	0%	16	26%	15	25%	7	11%	12	20%	11	18%
	Reformat Other	13	21%	17	28%	11	18%	19	31%	1	2%	6	10%	9	15%	10	16%	24	39%	12	20%
	Conservation	19	31%	27	44%	10	16%	5	8%	0	0%	16	26%	22	36%	10	16%	2	3%	11	18%

By Group		Special Collections										General Collections									
		Progress		Steady		Losing		N/A		UA		Progress		Steady		Losing		N/A		UA	
		Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.
Group 1 (n=18)	Preventive	10	56%	6	33%	2	11%	0	0%	0	0%	4	22%	7	39%	4	22%	0	0%	3	17%
	Reformat Paper	5	28%	6	33%	4	22%	3	17%	0	0%	5	28%	7	39%	2	11%	1	6%	3	17%
	Reformat Other	5	28%	6	33%	3	17%	4	22%	0	0%	1	6%	5	28%	3	17%	6	33%	3	17%
	Conservation	9	50%	5	28%	4	22%	0	0%	0	0%	5	28%	6	33%	4	22%	0	0%	3	17%
Group 2 (n=21)	Preventive	8	38%	12	57%	1	5%	0	0%	0	0%	6	29%	9	43%	2	10%	1	5%	3	14%
	Reformat Paper	9	43%	7	33%	2	10%	3	14%	0	0%	8	38%	5	24%	3	14%	2	10%	3	14%
	Reformat Other	6	29%	7	33%	3	14%	5	24%	0	0%	4	19%	3	14%	3	14%	7	33%	4	19%
	Conservation	11	52%	9	43%	1	5%	0	0%	0	0%	6	29%	9	43%	3	14%	0	0%	3	14%
Group 3 (n=46)	Preventive	22	48%	18	39%	6	13%	0	0%	0	0%	15	33%	18	39%	4	9%	1	2%	8	17%
	Reformat Paper	16	35%	11	24%	11	24%	8	17%	0	0%	13	28%	10	22%	7	15%	8	17%	8	17%
	Reformat Other	10	22%	12	26%	13	28%	10	22%	1	2%	4	9%	8	17%	11	24%	14	30%	9	20%
	Conservation	17	37%	17	37%	9	20%	3	7%	0	0%	11	24%	16	35%	9	20%	2	4%	8	17%
Group 4 (n=14)	Preventive	6	43%	6	43%	1	7%	1	7%	0%	0%	2	14%	7	50%	2	14%	1	7%	2	14%
	Reformat Paper	2	14%	1	7%	2	14%	9	64%	0%	0%	2	14%	2	14%	2	14%	6	43%	2	14%
	Reformat Other	2	14%	0	0%	1	7%	11	79%	0%	0%	0	0%	0	0%	1	7%	10	71%	3	21%
	Conservation	5	36%	4	29%	2	14%	3	21%	0	0%	3	21%	6	43%	1	7%	2	14%	2	14%

Table 42 Notes

Responses reflect only each institution's self-perception. They are not based on objective or comparative measures of individual programs, and it cannot be ascertained what each institution's baseline for comparison might be. For example, an institution that has recently implemented a comprehensive preservation program under professional management might describe itself as "making progress" even while the scope of activity remains small. Conversely, an established program that has recently experienced a funding cut might assess itself as "losing ground," although the scope of operations continues to exceed that of other libraries.

Tables 43-45: Electronic Activities

43. Is your library conducting or planning any digitization projects involving special collections materials?

	All Academic (n=99)		By Type						By Group							
			Canadian (n=11)		Private (n=27)		State (n=61)		Group 1 (n=18)		Group 2 (n=21)		Group 3 (n=46)		Group 4 (n=14)	
	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.
No	9	9%	2	18%	3	11%	4	7%	0	0%	1	5%	4	9%	4	29%
Yes	65	66%	7	64%	20	74%	38	62%	16	89%	17	81%	28	61%	4	29%
Planning	25	25%	2	18%	4	15%	19	31%	2	11%	3	14%	14	30%	6	43%

44. If conducting or planning digitization project(s) involving special collections materials, what unit manages the project(s)?

	All Academic (n=99)		By Type						By Group							
			Canadian (n=11)		Private (n=27)		State (n=61)		Group 1 (n=18)		Group 2 (n=21)		Group 3 (n=46)		Group 4 (n=14)	
	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.
Spec. Coll.	43	43%	4	36%	16	59%	23	38%	8	44%	9	43%	22	48%	4	29%
Multiple/co	25	25%	2	18%	4	15%	19	31%	7	39%	5	24%	11	24%	2	14%
Other	9	9%	2	18%	2	7%	5	8%	1	6%	2	10%	4	9%	2	14%
Dedicated	7	7%	0	0%	2	7%	5	8%	2	11%	3	14%	2	4%	0	0%
Missing	15	15%	3	27%	3	11%	9	15%	0	0%	2	10%	7	15%	6	43%

45. Is there a Web site for special collections?

	All Academic (n=99)		By Type						By Group							
			Canadian (n=11)		Private (n=27)		State (n=61)		Group 1 (n=18)		Group 2 (n=21)		Group 3 (n=46)		Group 4 (n=14)	
	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.	Freq.	Pct.
No	6	6%	1	9%	0	0%	5	8%	0	0%	1	5%	2	4%	3	21%
Yes	93	94%	10	91%	27	100%	56	92%	18	100%	20	95%	44	96%	11	79%

Tables 43-44 Notes

Table 43

“Yes” responses include institutions that indicated they were “both planning and conducting” digitization projects involving special collections materials.

Institutions interpreted “planning” in a variety of ways, ranging from approved projects scheduled to begin within a specific time frame, to projects awaiting grant or other funding, to much more vaguely articulated intentions still lacking a specific topic or project.

Table 44

Responses were categorized as: “Special Collections,” “Multiple or Coordinated Units,” “Other Unit” or “Dedicated Digitization Unit.” The “Dedicated Unit” code was used for responses such as “Digital Research Library,” Digital Library Project Team,” and “Digital Initiatives Librarian.” “Multiple or Coordinated Units” was used to designate both various departments managing the project(s) jointly, and different departments with responsibility for different projects.

Among the 9 responses in the “Other” category are: Preservation unit (2); Systems department (2); “Public and Outreach Services” (1); “Development and Support Services” (1); Collection Development department (1); ad hoc committee (1); and responsibility at the level of the university library (1).

A P P E N D I X 4

New, Proposed, and Discontinued Special Collections during the Past 10 Years

The following collections were self-reported by institutions at the time of the survey as special collections or significant collecting programs in special collections that were established or discontinued in the 10 years preceding the survey. Collections under consideration for establishment or discontinuation are given in *italics*.

This list is not comprehensive, nor do all the collections listed represent the same degree of institutional commitment to programmatic collecting. Many responses reflect individual gifts, additions to existing collections, or other specific situations. Most institutions interpreted “discontinued” to mean collections that have been retained, but are now closed, as well as those that have been disassembled or deaccessioned.

Subject categories have been assigned to permit rough grouping of similar collections. Each collection has been assigned to a single category, although in many cases multiple categories may be applicable. Categories were structured and interpreted broadly to minimize the number of unassigned or miscellaneous collections.

1. STATE/LOCAL/REGIONAL/INSTITUTIONAL HISTORY, LITERATURE, AND ORAL HISTORIES**Established**

Reinvigorated Alabama authors collection (Alabama)
Alabama authors (Auburn)
Western mining oral histories (California, Berkeley)
Contemporary local history archives (California, Irvine)
Law School archives (Columbia)
Illinois literary authors (Illinois, Urbana)
Student life and culture (Illinois, Urbana)
Center for Oral History (est. 1992) (Louisiana State)
University archives (est. 1991) (Louisiana State)
Avant-garde literature and art in Michigan in the 1960s (Michigan)
Literary small presses in Michigan (Michigan)
Michigan writers collection (Michigan State)
Downtown collection (New York)
New York State history (New York)
North Carolina Collection Gallery (texts, artifacts, historic rooms documenting university, state, and region) (North Carolina)
Recent history of Ohio Oral History program (Ohio)
Western New York literary associations (SUNY at Buffalo)
Inland waterways (Tulane)

Southern civilization (books, pamphlets representing 20th-century Southern writers opinions on political/social matters) (Vanderbilt)

Local/urban history (Waterloo)

Western Americana: ethnic communities of the Far West; social life, customs (including gays and lesbians) (California, Berkeley)

Creative writing program (personal papers and publications of faculty and distinguished graduates) (California, Irvine)

Georgia rivers, waterways, and aquifers (Georgia)

Creative Writing Program (additional correspondence/manuscripts of former/current faculty) (Houston)

Selected records management, scheduled acquisition of university archives (still developing) (Houston)

Chicago literary first editions (Illinois, Chicago)

Adding records management to our archival function in 98/99 (Rice)

Southern California Archival Research Center (Southern California)

Faculty papers (Tennessee)

Active program in Northwest authors' manuscript collecting (Washington)

Discontinued

Oral history (Howard)

Canadiana (Michigan State)

2. POPULATIONS/SOCIAL ISSUES**Established**

Native American authors (Arizona)
Disabled Persons Independence Movement (papers, oral histories) (California, Berkeley)
Feminist presses of Northern California and their archives (California, Berkeley)
Sexual orientation and social conflict (California, Berkeley)
California ethnic and multicultural archives (California, Santa Barbara)
John Hope Franklin Research Center for African-American Documentation (Duke)
Women's archives (Duke)
African-American collections (Emory)
Women's suffrage (Georgia)
Iowa women's archives (Iowa)
Archives of women in science and engineering (Iowa State)
Regional African-American collecting program (Kansas)
Women in sports collections (Maryland)
African-American churches (Michigan)
Human sexuality (Michigan)
Changing Men Collection (Michigan State)

Archie Givens, Sr., College of African-American Literature (Minnesota)
 African-Americana (North Carolina)
 Women's archives at OSU (Oklahoma State)
 African-American organizations (SUNY at Albany)
 Gay and lesbian studies (Washington)
 Arthur L. Johnson Endowment collection (history of African-Americans and the Civil Rights Movement) (Wayne State)
Gay, lesbian and bisexual literature and culture (Florida)
Local and state African-American community records (personal and business) (Florida)
African-American history through broadcasting (Georgia)
Women's archives at OSU (ongoing) (Oklahoma State)
Records of area Jewish organizations (SUNY at Albany)
Disability, special education, and public policy (Syracuse)

3. POLITICS/POLITICAL PAPERS

Established

Hall-Hoag collection of extremist and dissenting literature (Brown)
 Free Speech Movement (oral history, archives, ephemera) (California, Berkeley)
 Political papers: Mayor Tom Bradley administrative archive (California, Los Angeles)
 Perlin papers (Rosenberg trial) (Columbia)
 Georgia political journalism (Georgia)
 Printed works on intelligence, spying, and covert activity (Georgetown)
 Congressional papers (Hawaii)
 World War II (Illinois, Urbana)
 Robert J. Dole archives (congressional and personal archives) (Kansas)
 Modern political collections (South Carolina)
 Vietnam War collection (manuscript, oral history) (South Carolina)
 Congressional history (Texas)
 Clements collection (papers of oil magnate and Texas governor William P. Clements) (Texas A&M)
 Mildred Jeffrey collection of peace and conflict resolution (Wayne State)
Increase strength in social action (California, Berkeley)
Northern California political papers (California, Davis)
Systematic collecting of legislators' papers from the local area (California, Irvine)
Specialized human rights collections (Connecticut)
WWII reminiscences (Oklahoma State)
Papers of Senator John Glenn (Ohio State)

Discontinued

Discontinued receiving Environmental Defense Fund papers (SUNY at Stony Brook)
Ohio Network collection (local government records from eight counties of Southwest Ohio) (Cincinnati)

4. SOCIETY/FOLK AND POPULAR CULTURE

Established

Folklore archives (Brigham Young)
 Ciaraldi comics collection (Brown)
 H. Adrian Smith collection of conjuring and magicana (Brown)
 Miller collection of wit and humor (Brown)
 Chinese cookbooks in English (California, Davis)
 Golf (Chicago)
 True crime (Kent State)
 Cookery (Michigan State)
 Fencing (Michigan State)
 Comic art collection (Missouri)
 Southern folklife collection (music and related materials documenting Southern traditional music, broadly interpreted) (North Carolina)
 Joyce sports research collection (Notre Dame)
 Franklin cookbook collection (Ohio State)
 Cookbooks/culinary arts (Pennsylvania)
 History of American sport (Texas Tech)
Mechanical puzzles (Indiana)
Comic books (with Words and Pictures Museum in Northampton, MA) (Massachusetts)
Large artifacts (paintings, natural and anthropological artifacts, etc.) (Laval)
Wine collection (Michigan State)

Discontinued

Discouraging gifts such as art works and artifacts (Virginia Tech)

5. BUSINESS AND ECONOMICS

Established

History of economics (Chicago)
 John W. Hartman Center for Sales, Advertising & Marketing History (Duke)
 Hawaiian Sugar Plantation Association Plantation archives (Hawaii)
 Southern business history (North Carolina)
Archives of significant architectural firms in Tennessee (Tennessee)
Expand new areas (local/urban history and environmental activities) to include corporate archives (Waterloo)

6. BROADCAST/MEDIA/JOURNALISM

Established

Media Archives (Texas)
 Film and Video Archives (Brigham Young)
 Moving image collections (North Carolina)
 Communications/film (Toronto)
 National Public Broadcasting Archives/Library of American Broadcasting (Maryland)
 Southern broadcast media (North Carolina)
 Popular television (Syracuse)
Center for Public Television (Alabama)
American and European cinematic history (Indiana)
Center for Film and Television Studies (Iowa)
Journalism archival collections (Maryland)
Moving images on local subjects (Washington)

Discontinued

Sound archives (25,000 7" reels of sound relating to early history of radio) (Brigham Young)
Suspension of collection in the American archives of the factual film (Iowa State)

7. SCIENCE/HISTORY OF SCIENCE

Established

Medical history (Alberta)
 Aerospace history (Auburn)
 AIDS epidemic in San Francisco: the medical response (oral history) (California, Berkeley)
 History of biological sciences and biotechnology, esp. in Northern CA (oral histories, business archives) (California, Berkeley)
 Sierra-Pacific bioregion (California, Davis)
 History of pain archive (California, Los Angeles)
 Lena & Louis Hyman collection in the history of anesthesiology (Columbia)
 Archive of nursing leadership (Connecticut)
 Natural history (Georgia)
 History of science and quantum theory (papers, books, and photos) (Houston)
 Agricultural education (Illinois, Urbana)
 Cybernetics/computing (Illinois, Urbana)
 Farm broadcasting (Illinois, Urbana)
 Archives of the Agricultural Experience (Manitoba)
 Charles Darwin (South Carolina)
 Natural history (Texas Tech)
 History of medicine (Toronto)
 Environmental activities (Waterloo)

Science and technology (Alberta)
History of science (Alberta)
History of cognitive sciences (California, Los Angeles)
Canadian Jersey Breeders Association (Guelph)
Information science archival collections (Maryland)
Medical collections (planning to define acquisitions policy) (Michigan)
Archival collections related to individuals and associations in Canadian libraries (National Library of Canada)
History of medicine (North Carolina)
Agriculture, 20th-century (North Carolina State)
Engineering (North Carolina State)
History of science (North Carolina State)

Discontinued

Apiculture (program significantly downgraded) (Guelph)
 Meteorology (Colorado)
Restricting collecting activities of the Statistical Archives (Iowa State)
Suspension of collection in the Evolution/Creation Archives (Iowa State)

8. PERFORMING ARTS

Established

Local theatre archives (Alberta)
 Sheet music (Auburn)
 Film music archives (Brigham Young)
 Music special collections (Brigham Young)
 Philip J. Thomas popular song collection (British Columbia)
 Performing arts (California, Santa Barbara)
 Wittop theatrical archive (Georgia)
 Musical manuscripts and related materials (Georgetown)
 Archive of world music (Harvard)
 Bands/Sousa (Illinois, Urbana)
 Music (manuscripts; instrument literature; music in pop culture; recordings; organization archives; historic scores; and papers) (Maryland)
 American sheet music (Michigan)
 Music (Northwestern)
 University of Pittsburgh Sonny Rollins Jazz archive (Pittsburgh)
 Modern British drama manuscripts (Texas)
Archival recordings of jazz (Harvard)
School of theater faculty (additional collecting of correspondence and manuscripts of theater collections) (Houston)
Theater and dance (Maryland)
Dance (Ohio State)
Music (Ohio State)
Gilbert and Sullivan collection (Rochester)
Texas music to capture folk and cowboy musical traditions in field recording and interviews (Texas Tech)

Discontinued

Theater arts (performing aspects) (Texas)
 Dance and ballet (will maintain collection) (Waterloo)
 Music (Howard)
 Arnold Schoenberg Institute (Southern California)

9. FINE ARTS/DESIGN/ARCHITECTURE**Established**

Centre for Canadian Landscape Architecture archives (Guelph)
 Early photography (Harvard)
 Chicago architectural photographs (Illinois, Chicago)
 Chicago design and designers (Illinois, Chicago)
 Historic preservation manuscript collections (Maryland)
 Architectural records (Michigan)
 Photographs (Michigan)
 Photos (Southern California)
 Canadian architecture (Toronto)
 Historic Homes (Texas)

Historic Preservation Oral Histories (Maryland)

Discontinued

Photography as art (Ohio State)
 North Carolina architectural records (North Carolina)
 Two organizational archives, both in the field of graphic design
 (Kent State)
 Other graphics materials related to film (Ohio State)

10. HISTORICAL/HISTORICAL PAPERS**Established**

John Buchan collection (Brown)
 Archive of Pioneers in Survey Research (Connecticut)
 Military history (Illinois, Chicago)
 Legal history/legal education (Illinois, Urbana)
 Curtis Besinger papers (Kansas)
 Tom Clark papers (Kansas)
 Conte papers collection (Massachusetts)
 Transportation history collection (Michigan)
 Byrd polar archives (Ohio State)
 Delafield family papers (Princeton)
 Edward Livingston papers (Princeton)
 George Ball papers (Princeton)
 Labor history (SUNY at Albany)
 American history 1820–1870 (Campus previously had
 Andrew Johnson Project) (Tennessee)
 Nautical archaeology (Texas A&M)
 Canadian history (print and archival works) (Toronto)
 Josh Billings Civil War collection (Virginia Tech)

Discontinued

British naval history (former emphasis for book and archival
 collecting) (California, Irvine)
 Arctic exploration (Michigan)
 Voyages and travel (Michigan)

*Current organizational/association records in areas peripheral to
 major strengths (Syracuse)*

11. RELIGION AND PHILOSOPHY**Established**

Thomas Merton (Emory)
 Borst Thoreau collection (Rochester)
 Philosophy (Southern Illinois)
 Philosophy (Toronto)

12. FOREIGN/NONENGLISH**Established**

South African ephemera 1950–90s (California, Berkeley)
 Hungarica (Chicago)
 Chinese Democracy Movement archives (Columbia)
 Modern Japanese literature signed first editions (Columbia)
 Caribbean literature (Illinois, Chicago)
 Pre-20th-century literature with an emphasis on French
 (Johns Hopkins)
 Cuban heritage collection (Miami)
 Videotapes produced in Africa (cultural performances, political
 events, pop culture, locally produced TV shows, etc.)
 (Northwestern)
 Devers Dante Program (Notre Dame)
 You-Bao Shao Overseas Chinese Documentation and
 Research Center (Ohio)
 Cyrillic microform/access program (Ohio State)
 Irish literature (Ohio State)
 Manga collection (Japanese cartoons and graphic novels)
 (Ohio State)
 Hellenic studies/modern Greek (Princeton)
 Garibaldi and the Risorgimento (South Carolina)
 Irish studies (Southern Illinois)
 Hebraica (Toronto)

*Letters, manuscripts and diaries of modern Chinese writers
 (Harvard)*

*Archives of social conflict and social movements in Japan (Hawaii)
 Latin America collection (Notre Dame)*

Discontinued

Gray literature in Chinese and Japanese (vertical files)
 (Harvard)

13. AUTHORS/LITERARY TOPICS

Established

Louisa May Alcott (Brigham Young)
 George Orwell Collection (Brown)
 H.G. Wells collection (Brown)
 Sidney P. Albert George Bernard Shaw collection (Brown)
 British poetry and prose in the Victorian era (particularly women) (California, Davis)
 Critical theory archive (post-modern literary theory) (California, Irvine)
 Women poets of the romantic period (Colorado)
 Literary forgery (Delaware)
 Specific author collections (Delaware)
 U.S. literary involvement in Spanish Civil War (expanded to posters) (Illinois, Urbana)
 19th- and 20th-century American literature (Johns Hopkins)
 Penny dreadfuls (Kansas)
 Lewis Carroll collection (Michigan)
 William Faulkner collection (Michigan)
 Journalists in fiction (journalists as protagonists) (Missouri)
 Edwardian novels (New York)
 American literary manuscripts (Ohio State)
 Children's science (Ohio State)
 Post-war American literary manuscripts (Pennsylvania)
 Cotsen's children's library (Princeton)
 John Steinbeck collection (Princeton)
 Leonard L. Milberg collections of American and Irish poetry (Princeton)
 Stanley Kunitz papers (Princeton)
 Heyen Poetry collection (Rochester)
 John Gardner archive (Rochester)
 F. Scott Fitzgerald, Joseph Heller, Modern American Writers Project (South Carolina)
 Modern children's literature, esp. African-American (South Carolina)
 English language dictionaries (Rutgers)
 Robert Burns and Scottish poetry (South Carolina)
 Lexicography and linguistics (Syracuse)
 Contemporary British and American authors (books) (Texas)
 A.E. Copard (British, 20th-century essayist, short story writer) (Texas A&M)
 George R. R. Martin (science fiction writer and Hollywood scriptwriter) (Texas A&M)
 Howard Waldrop (science fiction writer) (Texas A&M)
 Raphael Sabatini (novelist) (Texas A&M)
 Roy Fuller (British, 20th-century poet) (Texas A&M)
 Children's literature (Texas Tech)
 American literature (Toronto)
 Canadian Literature Collection (Toronto)
 English literature (Toronto)

Pre-1801 titles (pre-1831 German and U.S.) and various other areas (Wisconsin)

Large collection of science fiction, including many autographed and first editions (Georgia Tech)

Considering building a collection in 20th-century poetry (Johns Hopkins)

Archives of beat-influenced poets (Michigan)

Children's books and artists for children's books (Michigan)

Horatio Alger Collection (Rochester)

American Literary Biography Depository (South Carolina)

James Dickey library (South Carolina)

Discontinued

Rubiyat of Omar Khayam collection (Arizona State)

Stopped emphasizing Herman Hesse collection (California, Berkeley)

French 17th- to 18th-century literature (California, Irvine)

War novels (Colorado)

18th-century British literature (Michigan State)

Modern American literature (general) (Michigan State)

Limited collection of British contemporary literature (New York)

Modern Canadian poetry collection closing in 2000. Will be collection of 20th-century poetry only. (McMaster)

Shakespeare (Michigan)

14. BOOK AND PUBLISHING HISTORY/BOOK ARTS

Established

St. Martin's Press archives (Brown)

Penguin Books (Penguin series 1935–65) (California, Berkeley)

Publishers' decorative cloth bindings (Colorado)

Sine collection of British illustrated books (Dartmouth)

Fine prints (particularly American, 20th-century examples) (Georgetown)

Pop-up books (Illinois, Urbana)

Miniature books (Indiana)

Modern fine printing and book arts (Indiana)

Printing history, especially hand-press period (Indiana)

Miniature books (Iowa)

Publishers' sample books (18th- to early 20th-century) (Pennsylvania)

Book arts (Rutgers)

Arkham House collection (science fiction publishing house archive) (Texas A&M)

History of the book, book arts (Toronto)

Artists books (Washington University, St. Louis)

Discontinued

Curtailed fine printing, art of the book, general bibliography
(Arizona)

Fine printing (California, Davis)

Extra-illustrated books (California, Irvine)

Illuminated manuscripts facsimiles (Michigan State)

Printing (Michigan State)

Modern fine press books (South Carolina)

Fine arts press (Southern California)

Fine press books (Texas)

15. RARE BOOKS**Established**

Herbals and early gardening books (Arizona State)

Rare books collection (expanded collecting program) (Louisiana State)

Expanded definition of rare books, esp. 20th-century imprints
(North Carolina)

Expanded rare books collection (Louisiana State)

Discontinued

Orchids and horticulture (California, Irvine)

Natural history illustration (South Carolina)

16. OTHER**Discontinued**

Broadsides collection has been disbanded as an administrative
unit (Brown)

No, but have downgraded some collections to “4” (Example:
Milton—foreign editions) (Illinois, Urbana)

Becoming more selective regarding gifts-in-kind and donations.

Attempting to focus on core collections. (Virginia Tech)

A P P E N D I X 5

Special Collections Digitization Projects

The following digitization projects involving special collections materials were self-reported by institutions at the time of the survey. (Digitization projects being planned at the time of the survey are given in *italics*.)

This list is not comprehensive, especially since numerous

digitization initiatives have been undertaken since the time of the survey. In addition, projects already completed at the time of the survey were not necessarily reported by respondents. URLs are provided when given by the institution and were last verified on February 5, 2001.

Institution	Project
Alabama	Portraits held by University libraries <i>Digitizing finding aids</i> <i>Rivers and railroads website/educational outreach</i> <i>University photo collection</i>
Alberta	Significant archival finding aids (e.g., < http://www.ualberta.ca/archives/invents/romanet/ >)
Arizona	Selected materials and topical areas: will scan, mount web pages and electronic texts Creative photography: scan photos and prepare catalog records as contribution to AMICO (Art Museums Consortium)
Arizona State	Images of approximately 150 items. Adding entries describing related materials in special collections < http://www.asu.edu/lib/speccoll/patten/ > <i>Cambodia project</i>
Auburn	Photos created by Alabama Cooperative Extension Service during 1920s < http://www.lib.auburn.edu/archive/agh/aces/inventory.htm > Digitization of Auburn history photos Posting of Civil War finding aids and some transcripts
Brigham Young	Cecil B. DeMille artwork William Henry Jackson collection
British Columbia	< http://www.library.ubc.ca/spcoll/ubc_arch/photos.html >
Brown	African-American sheet music digitizing project < http://www.brown.edu/Facilities/University_Library/general/aasmproj/aasmproj.html >
California, Berkeley	Free Speech Movement Japanese-American war relocation documents; Chinese-American documents (19 th and 20 th century) Cased photographs Gilded Age transportation documents
California, Davis	Image database of 12,500 postcard photos of northeastern California from Eastman Studios < http://www.lib.ucdavis.edu/speccoll/fa_old.html >

Institution	Project
California, Irvine	<i>Online exhibits program in 1998: will begin digitizing images and Internet finding aids</i> <i>Will digitize a collection as part of Online Archive of California 1999–2000</i>
California, Los Angeles	<i>Ishigo manuscripts collection (UCLA access only) Architectural photos (pilot planned for 1998–99)</i> <i>Los Angeles Times photographic negative archive (grant submitted to digitize glass plate negatives)</i>
California, Riverside	Contributing finding aids to California Digital Library Project
California, Santa Barbara	Digitizing of EIRS and California Ethnic and Multicultural Archives materials Participating in OAC (finding aids project)
Chicago	Local implementation of EAD; participation in RLG Archival Resources and APEX American environmental photos Contribute to library's electronic open stacks book project <i>First American West (grant proposal)</i>
Cincinnati	University of Cincinnati Digital Press (focus on transmississippi West) < http://www.archives.uc.edu/ > or < http://www.ucdp.uc.edu/ >
Columbia	Ling Lung (East Asian Journal) Digital Scriptorium (image Medieval manuscripts) APIS (consortial papyrus, ostraka digital project) <i>Experimental OCR scanning of FBI files from Perlin/Rosenberg collection</i> <i>Chinese door gods, Japanese Ukiyo-e</i> <i>Commercial digitization of binding exhibit</i> <i>41,000 images of architectural drawings (AVIADOR project)</i>
Connecticut	<i>Joint grant with Connecticut Historical Society and Mystic Seaport to digitize 30,000 photographic images</i>
Cornell	Various projects, including: Ezra Cornell papers, Louis Agassiz Fuertes artwork, Utopia Project < http://rmc.library.cornell.edu > Making of America 2: reformatting of manuscript, photo, and graphic material relating to railroads <i>Digitization of 10,000 photos in Andrew Dickson White architectural photograph collection</i>
Delaware	Library exhibitions Finding aids
Duke	Historic American sheet music project Emergence of advertising in America project Ad*Access project (digital scans from advertising collections)

Institution	Project
Emory	Selected materials from archival collections Thomas Merton notebooks <i>Poetry archive project</i> <i>16th-century woodcuts</i>
Florida	Demonstration projects
Florida State	<i>Planning to digitize some materials in the Claude Pepper collection</i>
Georgetown	<i>Plan to digitize growing manuscript collection</i>
Georgia	Several projects involving digitizing books, images, and manuscripts
Georgia Tech	Digitization of photographs (completed 1998)
Guelph	Centre for Canadian Landscape Architecture archives < http://www.lib.uoguelph.ca/cclaa/landscap.htm > <i>Expand archival and special collections page, including digitization of sample materials</i>
Harvard	Library Digital Initiative < http://hul.harvard.edu/ldi/ >
Hawaii	Hawaiian and Pacific Island photos and newspapers
Houston	Special collection website <i>Additions to website; adding illustrations to finding aids; monthly illustrative feature</i> <i>Searchable sites for Civil War materials and for sheet music collections</i>
Howard	Scanning manuscript material (may include materials in Library Division) <i>Electronic newsletter</i>
Illinois, Chicago	<i>Illinois Authors Digest: electronic accessibility to works by Illinois authors for use in the Chicago School System</i>
Illinois, Urbana	Lincoln historical digitization project Building Digital Cultural Heritage Community <i>Pre-1955 air photos of Illinois (prototype)</i>
Indiana	<i>Participation in Libraries' Digital Library initiative and planning digitized versions of collections held by the Lilly Library</i>
Iowa	Traveling Culture < http://www.lib.uiowa.edu/spec-coll/ >

Institution	Project
Iowa State	A few major virtual exhibits scanned from original materials in special collections <i>Planning a project for digital access with searching capability for a group of rural materials</i>
Johns Hopkins	Digitize and mount on web 29,000 sheets of music < http://levysheetmusic.mse.jhu.edu/ > <i>Planning medieval manuscript digitization and university's early circulars (course guides)</i>
Kent State	All archival finding aids now being added to the libraries/departamental website
Kentucky	Converting finding aids (manuscripts and modern political archives) into electronic format for website Developing annotated guides to introduce oral history transcriptions EAD/DTD initiatives for manuscripts, Modern Political Archives, Oral History, and University Archives and Records Program Database/website for W. Hugh Peal collection (English and American literature and history) <i>Developing and building a photograph database in University Archives and Records</i>
Laval	Grant project by Mellon < http://www.nlc-bnc.ca/cihm/ecol/ >
Louisiana State	< http://www.lib.lsu.edu/special/ > <i>Faculty papers in special collections</i> <i>Joint project with University of North Texas: community digital library and associated research</i> <i>People's history of Los Angeles, 1800–1815 (joint project with three other institutions)</i>
McGill	Canadian war posters/Hugh MacLennon papers/Early Canadian maps collection Canadian county atlases/ provenance database/ bookplate database <i>Aldus catalogue</i> <i>Fur trade papers</i>
Manitoba	<i>Virtual exhibit of photos from "Archives of Agricultural Experience"</i>
Maryland	< http://www.lib.umd.edu/UMCP/RARE/797hmpg.html > < http://www.lib.umd.edu/UMCP/LAB/AUDIO/soundbites.html > <i>Distributed digital audio library</i>
Massachusetts	<i>Unpublished manuscripts of an Art History professor emeritus</i>
Miami	<i>Library of Congress/Ameritech grant for materials relating to Florida Everglades</i>
Michigan	Several projects, including: photos, local history with K–12 teachers, and a website Papers of Business School and affiliates APIS papyrus Manuscripts

Institution	Project
Michigan State	Digital images from the American radicalism collection German criminology digital project Images of American Radicalism: Cover Illustrations from The Masses, 1913–1917 <i>American Sunday School books</i> <i>19th-century American cookbooks</i> <i>ARL German Resources Project</i>
Minnesota	Includes rare maps, corporate photos, African-American graphics < http://digital.lib.umn.edu/ >
Missouri	Scanning nitrate negatives and storing the images digitally
New Mexico	<i>New Mexico online archive of manuscript collections</i>
New York	Exhibits for Jewish Labor Committee, Washington Square, labor history negative collection, poster collection
North Carolina	Documenting the American South Departmental websites
North Carolina State	<i>Exploring imaging for oversized architectural drawings</i>
Northwestern	<i>West African newspapers, music manuscripts, correspondence by musicians</i>
Notre Dame	< http://www.coins.ND.Edu/ > < http://www.ND.Edu/~joycecol/ > < http://www.ND.Edu/~rarebook/Dept/Text/exhibits.html >
Ohio	<i>Reformat, digitize, and microfilm manuscript collection</i>
Ohio State	<i>Medieval manuscript leaves</i>
Oklahoma	Digitizing photographs of Native Americans and creating an online index to be available on the Web
Pennsylvania	< http://www.library.upenn.edu/etext/ >
Pittsburgh	<i>Scanned texts of early American school books (in design/development stage)</i>
Princeton	< http://libnt6000.princeton.edu/Visual_Materials/cruikshank/index.html > < http://libnt6000.princeton.edu/Visual_Materials/gallery/index.html > <i>Planning to undertake digital collections projects</i>

Institution	Project
Purdue	<i>Materials from Amelia Earhart collection (demonstration project)</i>
Rice	Photographs and text from selected manuscript collections, archival record groups
Rochester	<i>Digitizing selected material to be posted on website</i>
Rutgers	William Elliot Griffis collection pilot project < http://scc01.rutgers.edu/ceth/projects/griffis/project.htm > Electronic New Jersey Project < http://scc01.rutgers.edu/njh/ > Collection level cataloging with links to images New Jersey Women's History Project < http://scc01.rutgers.edu/njwomenshistory/ >
South Carolina	Rare Books: digitization of exhibits and collection introduction <i>South Caroliniana: digitization of paper-based finding aids to collections</i>
Southern California	< http://www.usc.edu/isd/locations/ssh/special/ >
SUNY at Albany	Contributed materials to making of New York project <i>Investigating digitizing university archives materials</i>
SUNY at Buffalo	CD-ROM of Huckleberry Finn with manuscripts CD-ROM edition of James Joyce notebooks
Syracuse	Oneida Community (utopian community): photos, finding aids, and full text of materials < http://libwww.syr.edu/digital/exhibits/oneida/index.html > Street and Smith (pulp publisher): finding aid, grant proposal, and images < http://libwww.syr.edu/digital/exhibits/Street/index.html > Belfer audio archive: funding proposal, sample images, sound files from 78 rpm recording
Temple	<i>Selected categories of the photograph collection</i>
Tennessee	Docutech-digitized manuscript collection Galston-Busoni <i>Native American pilot project with University of Georgia</i> <i>Smoky Mountain photographs</i>
Texas	Digitize photographs from Harry Ranson Center collection George Sanchez collection including photos 8,000+ border photos <i>Multi-institutional digitization project for photos of historically important Texas family (Hogg Family)</i>

Institution	Project
Texas A&M	Photos and clippings <i>Newspaper clippings on history of the university</i> <i>Digitize larger photo collections</i>
Texas Tech	<i>Photos and select high-interest manuscript materials</i>
Toronto	Portions of Moses Znaimen archives (founder of local TV station) <i>J.B Tyrrell papers, including photos of Canadian north and west</i> <i>Kenny collection (Canadian socialism)</i> <i>Discovery of Insulin collections</i>
Tulane	Electronic book Architectural archive copying slides <i>Preparing finding aids for manuscript collections, digital projects, or product on request</i>
Virginia	Early American Fiction, 1789–1850 (560 volumes, 81 authors) <http://etext.lib.virginia.edu/eaf/> Holsinger Studio collection: 9,000 images of turn-of-the-century Charlottesville, Albemarle County, and the University of Virginia <http://www.lib.virginia.edu/speccol/holsinger/> EAD-tagged guides to special collection and archival holdings <http://www.lib.virginia.edu/speccol/ead/> Thomas Jefferson papers: 8,000 images of original materials Exhibitions <http://www.lib.virginia.edu/speccol/scdc/exhibits.html> <i>Jackson Davis collection: 4,500 images of African-American educational scenes in the South, 1915–1930</i>
Washington	William Meed photo collection: Japanese-American incarceration <http://www.lib.washington.edu/exhibits/harmony/default.htm> All-Powers project: the Domestic Red Scare <http://www.lib.washington.edu/exhibits/allpowers/> <i>Asahel Curtis photo collection</i> <i>American Indians of the Pacific Northwest</i>
Washington University, St. Louis	For a multimedia, cross disciplinary Lewis and Clark class
Western Ontario	<i>Planning digitization of the London Free Press Negative Collection</i>
Wisconsin	Virtual exhibits Rare titles in alchemy and chemistry Bindings <i>Virtual exhibits</i>

Institution	Project
Yale	Graphical collections, especially from Beinecke Divinity, manuscript and archives collections <i>manuscripts and archives</i>
York	<i>Digitization of Toronto Telegram photographs</i>
Boston Public Library	Scanning of Copley Square images (photographs, drawings, postcards, blueprints) <i>Scanning of city directories</i>
Linda Hall Library	<i>History of science images</i>
National Library of Canada	Glenn Gould archives < http://www.gould.nlc-bnc.ca/ > Disc-o-log Virtual gramophone Canadian index to music periodicals <i>Canadian Illustrated News (images)</i> <i>Canadian Concert Programme Index</i>
