# Mellon Foundation – Council on East Asian Libraries
# Innovation Grants for East Asian Librarians


## A Proposal to the Andrew W. Mellon Foundation
## Submitted by the
## Council on East Asian Libraries of the
## Association for Asian Studies


The Council on East Asian Libraries (CEAL) is the professional association for East Asian studies librarians in the United States and Canada. It was founded in 1958 as a committee of the Association for Asian Studies (AAS), the primary scholarly association in this academic field. CEAL is a dynamic organization with a peer-reviewed open access journal, moderated discussion lists, and a record of accomplishment in contributing to national and international library standards. It offers in-person and virtual workshops, maintains institutional statistical data and a website[1], sponsors internships and mentoring opportunities, and organizes an annual meeting and program of workshops in conjunction with the annual conference of the AAS. The stated mission of CEAL is:

- To provide a forum for discussion of East Asian library concerns
- To further the development of East Asian library resources, services, and the systematic organization of all types of recorded information and knowledge
- To promote interlibrary and international cooperation in East Asian librarianship


## Part I. Grant Proposal

### Summary

CEAL proposes the establishment of a new grant program: *The Mellon Foundation – Council on East Asian Libraries Innovation Grants for East Asian Librarians*. The three-year program (January 1, 2015 through December 31, 2017) would be a re-granting program, administered by CEAL. It would enable East Asian studies librarians to address current and long-term challenges in collection development by planning and implementing innovative projects. The ultimate aim would be to broaden and strengthen library collections to better support research in East Asian studies in North America. The program would also encourage a culture of collaboration among East Asian studies librarians in order to leverage resources and expertise for projects that will have national impact. The total amount requested of the Mellon Foundation is $287,500, of which $255,000 would be re-granted and the remainder used for direct costs of program administration.

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[1] Council on East Asian Libraries Home Page:  http://www.eastasianlib.org/

## About the CEAL Organization

CEAL has a total of 191 paid individual members as of August 2014. The organization is governed by an Executive Board consisting of five officers, 12 elected members and three appointed members. They serve as volunteers, seeking to make a professional contribution to the field. CEAL is officially a committee of the Association for Asian Studies, a non-profit scholarly organization. CEAL financial accounts are maintained by AAS, and the AAS Secretariat in Ann Arbor, Michigan represents CEAL when applying for grants. CEAL collects dues from its membership and seeks opportunities for grant funding to supplement this income. Most recently, it received a two-year grant from the Henry Luce Foundation to bring noted speakers – scholars, librarians, and foundation officers – to the 2013 and 2014 annual meetings.

## Status of East Asian Collections in North America

East Asian collections in North American college and research libraries face many of the same challenges as other area studies collections:
- diminished access to funding at the local and national levels
- the paradox of decreased visibility precisely when institutions of higher learning are rapidly globalizing
- uncertainty about how to engage students, faculty, and other researchers in the digital age
- concerns about how to best collect, preserve, and make accessible the increasingly broad range of resources in analog and digital formats on which current and future scholarship depend

These concerns have found expression in a series of conferences in the past several years, at Yale (2012), Duke (2012), UC-Berkeley (2013), Indiana University (2013) and the New York Public Library (2014). The issues discussed in these venues resonate with those of East Asian studies librarians across North America.

Most CEAL members work in Association of Research Libraries (ARL) institutions, although some are based in liberal arts college and museum libraries. The membership represents approximately 70 institutions in the United States and Canada with library staff dedicated to East Asian materials. These librarians acquire materials primarily in the humanities and social sciences from China, Japan, Korea, and Taiwan, although some are also charged with acquiring Western language materials *about* East Asia. (In most U.S. academic libraries, East Asian studies librarians commonly focus on acquisitions *from* the imprint area.)
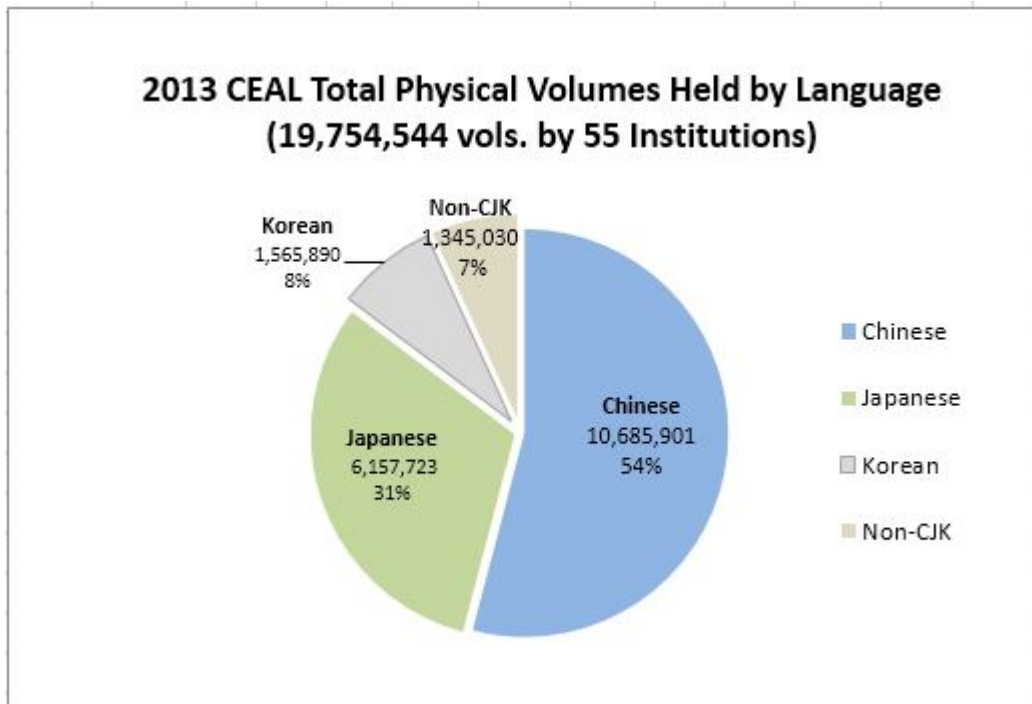
**2013 CEAL Total Physical Volumes Held by Language**
**(19,754,544 vols. by 55 Institutions)**

Non-CJK
1,345,030
7%

Korean
1,565,890
8%

Japanese
6,157,723
31%

Chinese
10,685,901
54%

- Chinese
- Japanese
- Korean
- Non-CJK

**Chart A.** North American East Asian Collection Volume Holdings by Language[2]

Chinese, Japanese, and Korean are the primary languages represented in East Asian print collections, although some materials in Manchu, Uighur, Tibetan, Mongolian, and other languages are also held. In North America, Chinese language holdings have traditionally been the largest, followed by Japanese, although Korean collections' share has increased somewhat during the past several years. The chart above shows the language distribution of print monograph and serial volume holdings in 55 reporting institutions as of June 30, 2013.

Print collections are increasingly supplemented by electronic resources, such as online reference books, full-text periodical article databases, and e-books. In 2013, e-book holdings constituted approximately 20% of all holdings, bringing the total holdings of East Asian collections (physical volumes of monographs and serials, other materials in reels, pieces, etc. and e-book titles) to more than 26 million items. Rapid growth in e-book acquisition is now a big driver of overall collections growth: the 4.9 million e-book titles acquired by East Asian collections in 2013 represented an 86.6% increase since 2010.[3] The transition to digital formats, however, has given rise to many new issues, especially given the differences between the European and North American publishing markets and those of East Asia. One of the biggest problems faced by American libraries as they negotiate collection development arrangements with vendors in East Asia is lack of leverage. The major markets for most of these vendors are local and their products will be high use because they are in local languages. In the

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[2] Doll, Vickie Fu. "CEAL Statistics 2013 with Multi-year Summary and Comparison," in *Journal of East Asian Libraries* no. 148 (February, 2014), p. 71. Chart courtesy of the author.
[3] Ibid., p. 74.

American university context, the resources will be used by only a small fraction of the faculty and student body in even the largest research university. Therefore, for example, the concept of using "FTE" (that is, the number of "full-time equivalent" students and faculty) as a basis for pricing access to e-resources makes sense in East Asia, since a high proportion of students are potential users. East Asian libraries and collections in U.S. institutions must argue that the FTE model has no relevance when so few on campus are potential users, but this argument does not lead to a highly discounted pricing model. This problem can also be exacerbated by vendor unwillingness to recognize consortial purchasing, which is now so standard in North America.

East Asian librarians can find themselves stranded between two different worlds in other ways, as well. East Asian vendors may be less sensitive to the need for convenient access to e-resources through registration of campus IP addresses, perpetual access measures, inter-library loan options for electronic resources, privacy protection for users, and even the need to recognize foreign universities as legitimate customers (some vendors may simply refuse to export.) Some of these issues may be ameliorated as East Asian information industry standards converge more with those of Europe and the United States. However, some may prove more intractable.

East Asian librarians can also find themselves at a disadvantage in their own institutions, especially large American research libraries that are now accustomed to an e-resource ecosystem that, in many particulars, does not resemble that in East Asia. Licensing terms have long been an issue, but the biggest current issue is the common use of metadata services that allow libraries to bring bibliographic information about full-text online articles and e-books into their local catalogs for discovery. With faculty and students accustomed to the robust discovery environment for materials in English and other European languages, the refusal of so many East Asian vendors to supply the "metadata" (essentially, the bibliographic citations) for enhanced access to their products has resulted in a growing "access divide."
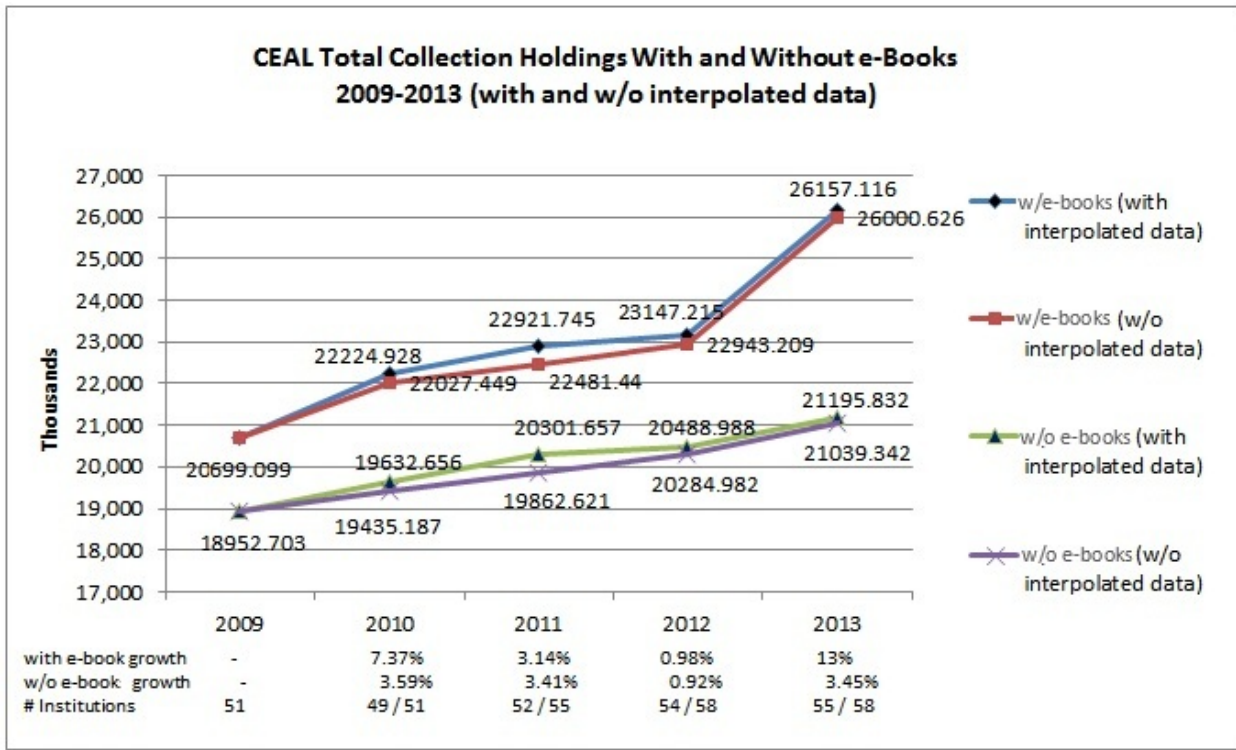
**CEAL Total Collection Holdings With and Without e-Books**
**2009-2013 (with and w/o interpolated data)**

Thousands (y-axis)

- w/e-books (with interpolated data)
- w/e-books (w/o interpolated data)
- w/o e-books (with interpolated data)
- w/o e-books (w/o interpolated data)

Data labels:
- 26157.116
- 26000.626
- 23147.215
- 22943.209
- 22921.745
- 22481.44
- 22224.928
- 22027.449
- 21195.832
- 21039.342
- 20699.099
- 20488.988
- 20301.657
- 20284.982
- 19862.621
- 19632.656
- 19435.187
- 18952.703

|  | 2009 | 2010 | 2011 | 2012 | 2013 |
|---|---|---|---|---|---|
| with e-book growth | - | 7.37% | 3.14% | 0.98% | 13% |
| w/o e-book growth | - | 3.59% | 3.41% | 0.92% | 3.45% |
| # Institutions | 51 | 49 / 51 | 52 / 55 | 54 / 58 | 55 / 58 |

**Chart B.** North American East Asian Collection Holdings, 2009-2013[4]

In addition to the general collections detailed above, CEAL members steward East Asia-related archival and special collections directly and indirectly (the latter, by providing the linguistic and cultural expertise required when these collections exist elsewhere in their institution.) Because East Asian rare books, archives, and special format materials such as maps, photographs, and audio-visual materials often reside in another library department, it can be difficult to keep these materials visible to the public and make them a focus for collection development, digitization, and outreach. Projects to highlight these collections and make them more accessible are currently underway at some institutions, but scaling up from this set of fragmented activities to a more coordinated national-level effort is an effort that has new urgency.

*Major Challenges for CEAL Members*

China, Japan, Korea, and Taiwan are all unique imprint areas with very different publishing industries, digital resource environments, and historical and political contexts. These differences can create unique challenges for CEAL librarians who specialize in Chinese, Japanese, or Korean collection development. In other words, although the issues listed above are common to East Asian collections in general, each area has its own specific problems, as well. For example, Korean collection librarians have difficulty finding reliable means of obtaining materials from North Korea. Chinese collection librarians are increasingly concerned with the lack of stability in some electronic resources, especially full-text journal

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[4] Ibid., p. 75.

packages. Librarians supporting scholars doing Japan-related research face more frequent requests for the artifacts of popular culture, including video games (and the hardware to play them). Nevertheless, there are many issues of common concern and all represent potential areas for project development and funding. These issues include the following:

In some ways, East Asian library *collection development policies have fallen out of alignment* with the needs of constituents.

- Collection development priorities still heavily emphasize the acquisition of published primary resources and scholarly publications, while North American researchers in East Asian studies fields are working with an ever broadening range of non-traditional resources, such as ephemera, social media, data sets, etc.
- East Asian special collections work tends to focus exclusively on existing holdings of rare books rather than on developing new initiatives to collect grey literature or unique primary resources, contemporary or antiquarian.
- Few East Asian book vendors provide reliable approval plan services. This requires time-consuming selection by East Asian collection bibliographers, time they might otherwise spend developing unique collections.

East Asian studies librarians have yet to address in a systematic way some of the conundrums of both *born-digital and digitized materials*:

- Digitized public domain resources in North American East Asian collections are accessible only via scattered local interfaces and portals. There is no inventory and no central access point to guide researchers.
- Few East Asian studies librarians have begun to select and ingest web pages or other internet content, such as blogs and other social media, statistical information, organization home pages, etc.
- Commercial electronic resource content may be at-risk, which could require collaboration for risk management. For example, Chinese database content is subject to instability as vendors address issues such as copyright, plagiarism, and changing political sensitivies.

The *effort to universalize discovery systems* has slowed, resulting in a growing gap in the user experience when seeking western language or East Asian language materials. This gap prevents researchers in East Asian studies from identifying relevant materials.

- The integrated library systems behind local library catalogs are still unable to represent and allow searching for East Asian scripts to the fullest extent required. This affects everything from the efficiency of collection development to the ability of patrons to discover and obtain relevant collection items.
- A major backlog is developing in the production of metadata to represent East Asian electronic resources (e-books, full-text periodical articles, and so on). The lack of adequate vendor records increases the likelihood that these holdings will remain undiscoverable by library users.
- A variety of other library applications, both commercial and open access, remain unable to accommodate East Asian scripts, which are necessary to provide users with all relevant information.

East Asian collection *funding sources* are increasingly problematic:

- Granting institutions within East Asia such as national libraries and governmental foundations have tended to set the agenda by channeling library funding to a narrow range of projects, primarily rare books cataloging and digitization and librarian training.
- Some of these granting institutions (the Korea Foundation and Japan Foundation, in particular) have - or will soon - reduce their support for library activities in North America.
- U.S. government grants, especially Department of Education Title VI funds, were often tapped for projects by East Asian collections but have now been greatly reduced.

## Goals of the Grant Program

The CEAL membership consists of some of the brightest librarians in North America. They are fully capable of addressing the above challenges, but are hindered by two factors: resources and methods.

*Resources.* The desire to give CEAL members the opportunity to devise and implement innovative solutions to collection development challenges is the primary motive for this application. The Mellon-CEAL Innovation Grants in amounts between $25,000 and $100,000 would encourage CEAL librarians to begin to address some of the problems identified above by developing high-impact projects. This would better position East Asian collections to serve North American researchers now and for the long term. The expectation is that there will be few proposals for the largest grants ($75,000 - $100,000) but if a project involved hiring an FTE professional for one year, costs could approach this level.

*Methods.* A major secondary aim is to encourage a culture of collaboration among East Asian studies librarians. Joint problem-solving to address collection development issues has been somewhat slow to develop for a number of reasons. East Asian studies librarians – unlike other areas studies librarians in the United States – have never established a collaborative relationship with CRL, which makes national-level coordination problematic. Also, while regional associations of East Asian studies librarians (such as members who work at University of California institutions or major east coast university libraries) have been active to different degrees, few mechanisms exist to encourage these groups to engage.

*The Mellon Foundation – Council on East Asian Libraries Innovation Grants for East Asian Librarians* would help foster the inter-institutional collaboration of East Asian studies librarians by allowing them to leverage their expertise and resources to bring about outcomes such as the following:
- Innovative approaches to East Asian analog and digital library collection development.
- Enhanced discovery of East Asian materials in local and national systems.
- Infrastructure that supports acquisition and use of East Asian born-digital and digitized resources.

Examples of projects might include the development of:
- Digital platforms for archiving web content produced in East Asia.
- Portals for discovery of East Asian collections' digitized content.
- Cooperative collection development and preservation policies for "at risk" East Asian information resources, internet resources, grey literature, or ephemera.
- Open source applications that enhance the discovery of East Asian script materials.

- Collaborative solutions to acquire and share audio-visual and multi-media materials, resources that typically do not circulate through inter-library loan and can be extremely difficult to identify and purchase due to the lack of organized purchasing channels in East Asia.
- A consortium of stakeholders to address the problem of metadata for e-resources (such as the lack of vendor bibliographic citations to allow for discovery in the North American online environment).

Outcomes and benefits of the Mellon-CEAL Innovation Grants would vary depending on the nature of each project. From a broader perspective, however, the program would encourage less competition and more cooperation among East Asian collections and stimulate them to build a stronger library foundation for future research in East Asian studies. It would stimulate CEAL members to address the broad needs of the East Asian studies community and give them the opportunity to gain experience applying for and administering grants. Mellon-CEAL Innovation Grant projects might also provide models and methodologies for use in other fields of librarianship.

## Grant Program Structure

The grant program is conceptualized as a three-year (January 1, 2015 through December 31, 2017) re-granting program, with the Mellon Foundation granting funds to the Council on East Asian Libraries through its parent organization, the Association for Asian Studies. In turn, a competitive application process would determine the projects for funding.

Proposals would be solicited from libraries in institutions of higher education (or cultural institutions with East Asian research collections) in the United States. Canadian East Asian studies librarians could be involved as collaborators. The lead for each project would be a CEAL member and the grants would require the support of the University Librarian or equivalent in the project lead's institution.[5] If grants involved collaboration between two or more institutions, one institution would take the lead and be responsible for reporting on all activities and spending. Collaborations involving more than one institution (or the participation of librarians from a number of institutions in a project based at one institution) would be encouraged.

There would be two grant cycles, although the aim would be to disburse the majority of the funding in round one. The first grant cycle would accommodate both one and two-year grant projects. The second cycle would be limited to one-year projects. Two grant cycles are desirable since the grant program being proposed is itself an innovation and the quantity and quality of the proposals in the first round are difficult to predict. The second round would be an opportunity for both CEAL and prospective applicants to regroup and ensure that any funding provided by Mellon is used effectively. The grant program would be managed by the CEAL President as Principal Investigator (PI) with selected members of the CEAL Executive Board serving as advisers. The CEAL PI would work closely with the AAS Secretariat on all aspects of grant management.

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[5] Since some institutions reserve the official designation "Principal Investigator" for the University Librarian, Associate University Librarian, or other staff with equivalent rank, this proposal uses the term "project lead" to indicate the project manager at each institution receiving a grant.

*Application and Program Timeline*

The grant program timeline was developed with several considerations in mind. First, the grant program envisioned has few precedents in CEAL history. While there are some in the CEAL community with extensive experience applying for and administering grants, there may be a learning curve for applicants and project leads. Therefore, the initial grant review process would consist of two stages, an initial review, to identify the most promising applications, and a final review. Between the two reviews, there would be an opportunity for the Review Board to work with the chosen applicants to strengthen their proposals, a process similar to that used by the Mellon Foundation. Second, the period between the announcement of grant awards and the beginning of the grant term would be a maximum of three months. The grant finalists would be announced on June 1. Project leads could elect to begin their grant on July 1, August 1, or September 1 (at the latest). This period would allow for financial transfers and allow the project leads to set up any necessary administrative structures, including hiring of staff, if required.

CEAL believes that sponsoring two rounds of grants during the three-year period is important. This will give the Review Board the ability to fund only the highest quality projects during the first round and give prospective applicants more time to incubate the projects in anticipation of a second round. However, since CEAL expects the majority of the funding to be awarded in the first round, travel funds are requested for the Review Board to meet in person in 2015. Grant review for the second round in 2016 would be organized "virtually," relying on e-mail exchange of comments and conference calls via telephone or Skype.

**Timeline: Grant Year One 2015**

| | | |
|---|---|---|
| January | Grant awarded (Jan. 1) | |
| | Grant program website created | CEAL Webmaster |
| | RFP finalized and disseminated (Jan. 15) | CEAL PI |
| | Review Board announced | CEAL PI |
| | | |
| February | Award letter text finalized | CEAL PI; AAS CFO |
| | | |
| March | Deadline for proposals (March 1) | |
| | Selection of short list applicants | Review Board |
| | | |
| April | Announcement of short list (April 1) | |
| | Short list applicants revise proposals | CEAL VP, Reviewers |
| | | |
| May | Deadline for final applications (May 1) | |
| | Selection of finalists | Review Board |
| | | |
| June | Finalists announced (June 1) | CEAL PI |
| | Funds disbursed to finalists | AAS CFO |

September    Deadline for starting projects (Sept. 1)

**Timeline:  Grant Year Two 2016**

January      Grant round two RFP (Jan. 15)

February     Interim reports (round one) due                    Project Leads
             Reports compiled for submission to Mellon          CEAL PI, AAS
                                                                Exec. Director & CFO

March        Deadline for proposals (March 1)
             Selection of short list applicants                 Review Board

April        Announcement of short list (April 1)
             Short list applicants revise proposals             CEAL VP & Reviewers

May          Deadline for final applications (May 1)
             Selection of finalists                             Review Board

June         Finalists announced (June 1)                       CEAL PI
             Funds disbursed to finalists                       AAS CFO

August       First round one-year grants end (Aug. 31)

September    Deadline for starting round two projects (Sept. 1)

November     Final reports due (one-year grants)                Project Leads
             Interim reports due (two-year grants)              Project Leads
             Reports compiled for submission to Mellon          CEAL; AAS
                                                                Exec. Director & CFO

**Timeline:  Grant Year Three 2017**

August       First round two-year grant term ends (Aug.31)
             Second round grant term ends (Aug. 31)

November     Final reports due                                  Project Leads
             Final reports compiled for Mellon                  CEAL PI; AAS Exec.

Director & CFO

In advance of the deadlines listed for interim and final reports in the award letter from Mellon, the CEAL PI would solicit narrative and budget progress reports from the project leads for each grant project and prepare an overall report.   The project leads would be asked to address:

- Arrangements made at the project lead's institution to provide financial services and oversight. [Interim Report]
- Progress of the project against the benchmarks established in the project proposal.
- Problems encountered and measures taken to address them.
- If relevant, actions taken to address commitment to make digitized content or software created with grant funds broadly available.
- Spending (descriptive text to supplement the itemized budget spreadsheet), including overview of matching funds received, if any.
- Project outcomes, assessment process, and results.  [Final Report]
- Draft article for submission to the *Journal of East Asian Libraries* or other library journal.  [Final Report]

The budget document would be a spreadsheet prepared with the Mellon Foundation template available on the Foundation website.[6] This report would then be submitted through the AAS Secretariat to the Mellon Foundation.  As part of the granting process, applicants would be asked to document the benchmarks used to judge progress and the criteria used for assessment.  The Review Board would work with the applicant to ensure that these are appropriate measures.  In its reports to Mellon, the CEAL PI would explicitly address how each project is performing relative to these benchmarks and criteria.  In addition, the final report to Mellon would address the overall outcome of the grant program in relation to project impact.

## Dissemination of Project Outcomes

Grant project leads would be required to submit an article for publication in the *Journal on East Asian Libraries* (JEAL) or seek other appropriate venues to disseminate project outcomes to librarians and scholars.  JEAL is published twice a year with submission deadlines of April 30 and December 31.  The final deadline for the project leads to submit would be December 31, 2017, for publication in February, 2018.  Project leads might also consider publications such as the *Asian Studies Newsletter* (Association for Asian Studies), *College and Research Libraries News* (Association of College & Research Libraries), *Library Resources & Technical Services* (Association for Library Collections & Technical Services), or *Library Collections, Acquisitions, and Technical Services* (Taylor & Francis).   In addition, the CEAL 2017 Annual Meeting would feature a panel at which the project leads would discuss their projects.

## Conclusion

By establishing a successful grant program with Mellon Foundation funding, CEAL can establish a track record sponsoring successful collection development-related projects.  Assessments done by

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[6] http://www.mellon.org/grant_programs/grantmaking-policies-guidelines/grant-reporting-guidelines

project leads, published articles on project outcomes, and other documentation could be leveraged in applying for subsequent grants.  In addition to the possibility of applying to the Mellon Foundation for another round of funding, application other granting organizations would be considered, such as the Henry Luce Foundation and C.V. Starr Foundation in the U.S.; the Japan Foundation, Korea Foundation, Ho Foundation, and Chiang Ching-Kuo Foundation in East Asia; and other East Asian grant opportunities that may be identified in future.

The award of funding to re-grant for East Asian collection development innovation would be a first in the field.  The grant projects selected for funding would provide new mechanisms and directions for a robust East Asian collections environment in North America.  They would also stimulate broad collaborations between East Asian studies librarians and their institutions, laying a valuable foundation for continued cooperation.