Enhancing Scholarly Communication and Research Collections in the Cornell University Library: A Strategy for Change in Collection Development, 2006-2010

Recommendations to Sarah Thomas and the Library Management Team from the CUL Collection Development Executive Committee, submitted April 15, 2006

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Executive summary

Collection Development in the research library involves selection, curation, and preservation of information resources that our users need in all stages of the scholarly communication process. Building on selectors’ dynamic knowledge of the near- and far-term needs of research and teaching, Collection Development advocates for scholars and students in and across the disciplines. Because of the inseparable link between Collection Development and Scholarly Communication, CUL’s Collection Development Executive Committee (CDExec) recommends that these functions be joined at an administrative level.

This document proposes:

• That Collection Development and the promotion and facilitation of Scholarly Communication at Cornell University Library be combined in a single portfolio that is the primary responsibility of an Associate University Librarian (AUL) for Collections and Scholarly Communication who reports directly to the University Librarian and is a member of the Library Management Team;

• That this portfolio include responsibility for the non-technical aspects of publishing and content creation services, as well as for archiving and preservation of all formats;

• That two full-time staff report to the AUL for Collections and Scholarly Communication: an Electronic Resource Management/Research Librarian and a dedicated managerial assistant;

• That selectors university-wide report, directly or indirectly, to the AUL in proportion to the amount of time they are responsible for Collection Development and Scholarly Communication activities.
Introduction

In hosting the October 2005 Janus Conference on Research Library Collections, Cornell University Library brought into unprecedented focus national discussions about the ends and means of Collection Development in a rapidly changing information environment. Janus identified key arenas in which research libraries must respond to economic, technological, and institutional shifts and established a national agenda for coordinated action.

At Cornell, these developments have coincided with the loss of Ross Atkinson due to his untimely death, opening the question of how pending decisions about personnel realignments and the organization of Collection Development will reflect the priorities articulated at Janus. At this time of transition, nationally and locally, CDExec is convinced of the importance of CUL’S continuing energetic engagement with this emerging national plan. The Committee is further convinced that the Janus plan has immediate implications for the structure of Collection Development and Scholarly Communication at CUL.

Janus defined the task of Collection Development broadly as that of negotiating the ground between writer and reader. Scholarly communication is the process by which the work of researchers is created, evaluated, documented, distributed, used and archived. In the current academic environment, the writer-reader relationship is complicated by pressure points in the scholarly communication chain. CDExec conceives the scope of Collection Development as including the Library’S efforts to address these pressure points. A coherent approach and a viable organizational structure for Collection Development and Scholarly Communication are essential to continuing to anticipate and meet the needs of Cornell faculty and students as both users and producers of scholarship.

CUL’s Collections 2006-2010

The Cornell University Library collection is a major university asset, a resource for students, faculty, staff, and the administration, and an internationally-known beacon for visiting scholars.

The collection is funded by an appropriated budget of $13,205,22 (2005/06), which is supplemented by endowments and gifts of $2,349,242 annually. (These figures include the endowed campus, Mann, ILR, Vet, Geneva, Adelson, and the Medical College.) The collection today is a complex hybrid of subjects and formats and we can anticipate an increasingly diverse collection by 2010, one that is increasingly, but not exclusively, digital in all subjects, and transformed in relationship to changing scholarly communication processes. Scholarly Communication is a set of practices by which academic researchers record and convey to their peers, formally or informally, the progress and results of their work; the research collection is the vehicle by which this record is made accessible and preserved for future use.
Cornell will continue to rely on the strong identity that the Library collection asserts to attract and retain faculty and students. Yet strong and deep collections in isolation no longer advertise themselves, if they ever did. With so much research material openly accessible on the Internet, and with the Library’s mission to increase open access, the collection needs an authoritative advocate, a spokesperson and leader who will enhance its value to the scholarly community. An AUL for Collections and Scholarly Communication is needed to manage change locally and in concert with national and international initiatives, while maintaining the strong, organic connection to the context in which the Library is situated – in this particular university and community of students and scholars from which it derives the majority of its funding.

Addressing the Janus Six Key Challenges in CUL

We are convinced that the structural and programmatic changes proposed in this document will enable CUL Collection Development to address effectively the challenges posed at the October 2005 Janus Conference. The tasks set at Janus have found national resonance:

1. Convert the scholarly record to digital formats (“Recon”)
2. Ensure objects published in the future are available in digital form (“Procon”)
3. Build the core collection collaboratively with other institutions
4. Institute agreed best practices in publisher relations
5. Create and implement robust national plans for print and digital archiving
6. Create alternative channels of scholarly communication

Janus’s boldness lay in formulating the six challenges precisely as tasks for Collection Development and in proposing them as a collaborative national agenda. Locally, most of these tasks are already among CUL’s defined priorities. It is worth noting, moreover, that many are already associated with Collection Development in CUL’s priority documents. CUL’s Goal 1 in the Master Plan for 2002-2007 is a Collection Development goal: “Build the knowledge base of print, digital, and other materials.” The points of elaboration on CUL’s Goal 1 correspond closely to items on the Janus agenda. Anticipating Janus’s “Recon” challenge, the 2002-07 Goal calls for CUL to “Allocate annually a portion of the Library budget for digital conversion of analog holdings.” The call to “Strengthen access to digital collections” via “reallocations of funds” and “privileging electronic over print” is given a more pointed formulation in Janus’s “Procon” challenge. And just as Janus identified the development of “Alternative Channels for Scholarly Communication” as a challenge for Collection Development, CUL’s 2002-07 priorities include as part of the goal of building the knowledge base “partnerships with the faculty to enhance access to scholarly information and to ensure the long-term preservation of that material.”

The 2002-07 plan expands significantly on the Scholarly Communication objectives in a separate Goal, number 3: “Support electronic publishing, Scholarly Communication, and
enhancing scholarly communication and research collections at cul, 2006 - 2010

creative expression. operate an electronic publishing program capable of systematic
production and distribution of journals, monographs, and multimedia compositions and
foster alternatives to conventional publishing.” the plan breaks this goal down into a
number of activities, including “a campus education program to increase awareness of
issues relating to scholarly communication,” as well as efforts to build “discipline-based
. . . repositories.” today, the former is part of existing collection development practice
at cul; the latter is principally under dlit’s purview. but discipline-based repositories
are “built” in two ways: the technical infrastructure must, of course, be developed, but the
infrastructure is hollow without the content, which can best be built through the outreach
effort of collection development liaisons with the various departments throughout the
university. a rearticulation of the relationship between collection development and
dlit, along with a realignment of certain functions, will advance cul’s institutional
goals and facilitate the library’s leadership in national efforts surrounding the janus
agenda.

proposed organizational structure for cornell collections and scholarly
communication

CDExec has reviewed the CUL Priorities, the Janus Challenges, Collection Development
practices and priorities, and Cornell University Library’s overall future planning efforts.
It is in this overarching context that Collection Development makes these
recommendations. In order to successfully manage Collection Development in the
context described above, the Library should act quickly to implement the following
administrative structure:

Appoint an AUL for Collections and Scholarly Communication to oversee the continued
relevance, vitality, and permanence of the Cornell University Library collection and to
shape the changing parameters of Collection Development in relationship to its role in the
scholarly communications cycle. An essential aspect of this cycle is the long-term
reliability of curated resources; for this reason, CUL’s Preservation activities also belong
within the portfolio of the AUL for Collections and Scholarly Communication.

The key aspects of this position are: 1) that Collection Development and Scholarly
Communication are combined in a single portfolio, which includes Preservation; 2) that
this portfolio constitutes the AUL’s sole responsibility; and 3) that he or she reports
directly to the University Librarian.

While the technical aspects of new strategies for Scholarly Communication fall squarely
within the responsibilities of the Library’s systems technology units, CUL’s
programmatic approach will be deeply informed by the relationships to the academy, its
cultures, and its publication processes that grow most naturally out of Collection
Development. Combining Collection Development and Scholarly Communication into a
single portfolio recognizes that Library-sponsored scholarly communication alternatives
will only be viable to the extent that they relate organically to existing communication
practices in specific scholarly communities. A new AUL for Collections and Scholarly
Communication would be expected to have a thorough knowledge of the evolving
scholarly communication chain, as well as a strong grasp of the various disciplines the Library serves and relationships among them. Creation of a new AUL position for Collections and Scholarly Communication provides occasion for a review and realignment of Scholarly Communication functions currently under DLIT’s purview. Focused leadership is needed in both units of the library, but their functions are different. We recommend that the AUL for Collection Development and Scholarly Communication be responsible for the implementation and production aspects (as distinct from the Information Technology aspects) of the Center for Innovative Publishing as well as for CUL’s in-house Digital Collections.

A leadership position with an undivided focus on Collections and Scholarly Communication is essential to ensuring that these core functions, to which a large proportion of the Library’s budget is dedicated, receive the attention they require. A leader at the highest level is needed to contend, at both the national and local levels, with the many complex issues facing scholarly communication and research collections. In particular, in an environment that increasingly demands inter-institutional collaboration, CUL requires a leader with the authority to collaborate effectively. CUL is currently pursuing various pieces of the agenda that emerged from Janus, but the approach is fragmented, and some of the Janus challenges have no CUL representation. Coordination at the AUL level will be critical to developing a coherent approach to the Janus challenges.

Ross Atkinson set a very high standard for leadership of Collection Development. It is critical that CUL put in place an administrative structure that will ensure our Library a continuing leadership role and high level of participation in the research library community. We must build on our strength.

CDExec proposes that two newly-assigned staff report directly to the AUL for Collections and Scholarly Communication:

1) Electronic Resource Management/Research Librarian. The introduction of this position fills a real gap in current staffing. With so much of our focus shifting toward electronic resources, it is critical that we have the information needed to make good management decisions for Collection Development. Centralizing responsibility for this function also reduces the need for all selectors to develop specialized skills for working with usage statistics. The ERM/Research Librarian will also free up time for the AUL to focus on activities related to national and local leadership of the Janus plan, including especially the Scholarly Communication and Archiving challenges. This more specialized position in Collection Development mirrors a similar need identified in the recent reorganization of Library Technical Services (LTS). In the LTS reorganization, the enormous growth of our electronic collections and of various issues related to them clearly demanded increased attention, focus, and staffing. Many e-resources activities for technical services were consolidated in the new E-Resources and Serials Management Unit; devoting an academic position in Collection Development to examining and managing issues related to electronic resources would benefit selectors across campus and the Cornell community at large.
Recent issues of C&RL News have increasingly displayed ads for similar positions in large and small libraries which clearly indicate that this is a pressing need across the country.

2) Assistant to the AUL for Collections and Scholarly Communication. This would be a D or E band support staff position. Duties would include assistance in managing the CUL Acquisitions budget and management of a new Collections and Scholarly Communication website.

At least one of these two positions requires skills in quantitative techniques, such as statistical and cost-benefit analysis. These skills are essential to planning and managing the growth and preservation of the Library’s collections based on assessing strengths and weaknesses and estimating future community needs.

In order for the AUL for Collections and Scholarly Communication to be truly responsible for the overall direction of these activities in CUL, all selectors should have a direct or indirect reporting responsibility to this AUL in relation to the amount of selection for which they are responsible. For the foreseeable future, subject selectors with in-depth knowledge of both the bibliography of their subject and the information needs of our clientele will remain essential for effective collection development at Cornell. CUL must continue to support a cadre of subject specialists, each of whom, using allocated funding, is responsible for ensuring access to the information of most value for current and future instruction and research by Cornell users. The current selection team structure and the Collection Development Executive Committee have proven very successful at CUL and should be continued.

Context of other ARL libraries

While the organization of Collection Development varies across ARL libraries, an informal survey of our peers conducted on the Chief Collection Development Officers listserv indicates that most ARL libraries have either a Chief Collection Development Officer or an Associate University Librarian overseeing Collection Development.

Although strategies for administering the intersection of collection development, scholarly communication, and digital collections management vary among institutions, an emerging trend in new AUL-level job descriptions has begun to show linkage between collections and scholarly communication. The Collection Development officer at the University of Washington Libraries, Tim Jewell, for example, had his titled changed as of March 1, 2006 to reflect the combination of these roles: “Director of Information Resources, Collections and Scholarly Communication.” At UCLA, Cynthia Shelton is AUL for “Collection Management and Scholarly Communication.” And at Michigan, Mark Sandler tells us that the Scholarly Publishing Office reports through Collections. At the University of Iowa, the Director for Collections and Content Development serves as and AUL and is responsible for promoting the transformation of scholarly communication through advocacy and outreach to UI faculty and administrators. When Bonnie MacEwan left Penn State last year for Auburn, Penn State Libraries revised her
position of Assistant Dean for Collection Development to be an Assistant Dean for Scholarly Communications and Co-Director, Office of Digital Scholarly Publishing. A search is currently under way to fill the job: 
http://www.libraries.psu.edu/humanresources/jobs/adsc.htm

Conclusion

We recognize, and would like to acknowledge here, the respect, visibility, status and influence that the Cornell University Library and Cornell Library selectors have gained in the reflected light of Ross Atkinson’s eighteen years’ association with Cornell. Another strong leader can build on this firm foundation, the foundation of dynamic local collection development expertise and good practice, and the foundation of the collection itself. To best serve the current and future users of the Cornell University Library, and to make best use of the expertise of the librarians who build its collections and services, the Collection Development Executive Committee believes it is crucial that Scholarly Communication, Collection Development, and Preservation be integrated in a coherent organizational structure and guided by an energetic, forward thinking, and innovative leader. We strongly urge the CUL administration to continue the dialog necessary to implement our recommendations.
Appendix A: Cornell University Library Collection Priorities

The following priorities, which are listed in rank order, should serve as a general guide for all CUL selection decisions.
1. Curriculum Support. Library materials selected specifically in support of current undergraduate and graduate coursework should receive the highest priority. Many of these titles will be ordered at the request of faculty, often for reserve.
2. Standard Source Availability. Standard or “core” monographic and serial titles should be available in the Library for all subjects taught or studied at the University. This category includes basic reference tools.
3. Faculty Research. This category consists of specialized materials directly related to and needed for current faculty research projects.
4. Graduate Student Research. Here are ranked specialized materials needed for prolonged or intensive use by graduate students working on theses and dissertations.
5. National Collection Strengths. This category includes those subject or area collection segments in which CUL has traditionally maintained exceptionally strong (4+/5) collections.
6. Subject Representation. Here are included those specialized publications which reflect the broad trends in current scholarship throughout the subjects currently taught or studied at the University. These items are needed if the Library is to serve as a record or representation of current knowledge on relevant disciplines.
7. Inter-institutional Commitments. This category consists of materials acquired solely because of cooperative agreements with other research institutions.
8. Collection Continuity. This final category includes materials the Library continues to collect primarily because the same type of materials has been collected in the past.

Appendix B: Sample Job Descriptions from other ARL Libraries

University of Washington Libraries

POSITION TITLE: Director, Information Resources, Collections and Scholarly Communication

GENERAL DESCRIPTION:
Reporting to the Dean of University Libraries, the Director is responsible for overall management and policy guidance in Information Resources, Collections and Scholarly Communication. Provides leadership for the selection, licensing, management and preservation of print and electronic resources. Ensures that the Libraries information resources programs are coordinated and integrated. Provides leadership in consortial and cooperative activities that include collections and scholarly communication. Responsible for hiring, training and evaluating IRCSC personnel; and for contributing to general administrative decision-making and library leadership. Coordinates and manages the resources budget. Works with Libraries Development, the Dean and others in the use and development of private funds for collections. Facilitates the transition to integrated and complementary print and digital collections in support of teaching, learning, and research. Develops and promotes sustainable models of scholarly communication. Institutes innovative approaches to collection assessment and management.

SPECIFIC RESPONSIBILITIES AND DUTIES:
Defines goals, sets policies and formulates long-range and short-term plans for Information Resources and Scholarly Communication within the framework of the University’s and Libraries’ current priorities and objectives.

Monitors and shares information related to developments in collection management, collection development, electronic resources, licensing, and the information resources legal environment.
Works within a shared administrative structure to facilitate Libraries collection-building and access functions; develops policies and programs to fulfill user collections and access needs.
Leads, administers, and coordinates collection development activities performed by a decentralized group of subject and collection librarians.
Serves as the Libraries’ primary spokesperson regarding collections to faculty, students, and administrators, and forges collaborations with academic departments and programs.
Promotes cooperative collection development and planning within the Libraries and with the Gallagher Law Library.
Represents the collections interests of the Libraries in regional consortia (Greater Western Library Alliance, Orbis Cascade Alliance, Cooperative Library Project, Washington Statewide Database Licensing Project, and others), national forums and international initiatives.
Provides University-wide leadership by working closely with faculty and library colleagues to chart a sustainable future for scholarly communication. Oversees and facilitates the work of the Libraries’ Scholarly Communications Committee.
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Oversees the work of the Information Resources Council (IRC), the IRC Steering Group, and its subgroups.
Oversees allocation and use of the resources budget and collections endowments.
Advocates for and participates in collections-related fund-raising and stewardship.
Supervises the Collection Management Services Department (including the Collection Development Librarian, Electronic Resources Librarian, and Gifts Section), and the Preservation Administrator.
Collaborates on the development of digital collection-building initiatives.
Prepares reports for a variety of purposes, including annual collections budget requests, external reviews of departments and programs, and library impact statements concerning new degrees and majors. Works closely with the Director of Assessment and Planning as appropriate.
Participates in overall system-wide planning, policy development, resource allocation, and personnel management as a member of the Libraries’ Cabinet and Council.
Fosters professional development of librarians and staff to meet the challenges of a rapidly changing environment.
Undertakes special projects as needed and assigned. Assumes other responsibilities as assigned; performs other duties as required.

Yale University Library. Electronic Collections Librarian Electronic Collections.
Rank: Librarian I-II

The University and the Library
The University Library, which is a highly valued partner in teaching and research at the University, has more than 11 million volumes housed in the Sterling Memorial Library and 22 school and departmental libraries. It employs a dynamic and innovative staff of nearly 600 FTE who have the opportunity to work with the highest caliber of faculty and students, participate on committees and are involved in other areas of staff development. A full spectrum of library resources, from rare books and manuscripts to a rapidly expanding network of electronic resources, constitutes one of Yale’s distinctive strengths. The Library is engaged in numerous digital initiatives designed to provide access to a full array of scholarly information. For additional information on the Yale University Library, please visit the Library’s Web site at: http://www.library.yale.edu/.

Electronic Collections
The Electronic Collections Department leads, coordinates and supports the collecting and conversion of electronic and digital collections through the Yale University Library. Yale University Library is aggressively acquiring electronic and is exploring capabilities for archiving and creating electronic content. The collections funds spent on electronic resources regularly increase by more than 30% a year, the number of full text serial titles is over 57,000, the number of databases exceeds 900, and the number of online books is more than 600,000. Expansive growth of e-resources is expected to continue, and additional support and complementary new skills are needed to support the library’s growth in this area. Electronic Collections staff works together as a team to provide responsive, effective, and evolving coordination of electronic collecting. The Electronic Collections Librarian will report to the Head, Electronic Collections and will
communicate regularly with library staff at many levels and in many departments.

Responsibilities
Through a combination of collections development, communications, and technical expertise and skills, the successful candidate will assist in undertaking a related group of activities that include: Participating in the expansion and curation of the library’s electronic resource collections through: Supporting descriptive and administrative records of collected e-resources, managing the lifecycle of major interdisciplinary e-resources, nurturing effective and productive vendor relationships with producers and providers of e-resources. Participating in extended electronic collections team (including Medical Library staff) electronic resources activities, which may include: troubleshooting problem reports, reviewing and negotiating license agreements. Contributing to the activities of the Electronic Collections Department and Yale University Library by activities such as: participating in the development and support of the Electronic Resource Management tool (ERM), and other e-services tools, liaising with relevant related groups, including staff of the Integrated Libraries and Technology Services department, various acquisitions and public services departments, the catalog department, etc. possibly supervising non-professional staff.

The incumbent will be expected to remain abreast of scholarly communication initiatives. As an integral member of the Electronic Collections team, the Electronic Collections Librarian may occasionally be called upon to assist in other activities including related electronic collecting curation, international special projects, and digital conversion activities.

Qualifications
M.L.S. from an ALA-accredited library school is required for this position, with a minimum of 2 years professional library experience to be appointed as a Librarian II, preferably with at least 1 year of experience supporting electronic resource activities. The position requires knowledge of the complex, ever-changing electronic publishing environment and Scholarly Communications issues. Must have the ability to work with a varied user groups and function effectively in a team environment and in a complex organization. Excellent oral and written communication skills are required. Previous activities in at least some of the following areas are required: using and instructing in the use of information technologies, developing MS Access queries and reports, reviewing and identifying issues with licenses, using an Integrated Library System and/or an Electronic Resource Management system, developing webpages and using HTML markup and CSS stylesheets. The following qualities are preferred: experience supporting an OpenURL resolver, preferably ExLibris SFX, knowledge of Scholarly Communication industry norms and practices of information technology, experience providing troubleshooting for problem reports, familiarity with project management, skill in “translating” between the world of electronic resources and traditional library formats.

Salary and Benefits
Competitive salary based on the successful candidate’s qualifications and experience (min: 46,700). Full benefits package including 22 vacation days; 18 holiday, recess and
personal days; comprehensive healthcare; TIAA/CREF or Yale retirement plan; and relocation assistance. Applications will be accepted until the position is filled. For immediate consideration send or fax your letter of application, resume and the names of three references to Diane Y. Turner, Associate University Librarian for Human Resources, Staff Training and Security; Source Code EAYU14880; P.O. Box 208240, New Haven, CT 06520; Fax (203) 432-1806.

University of Michigan. ELECTRONIC RESOURCES OFFICER COLLECTION DEVELOPMENT

The University of Michigan, University Library seeks an Electronic Resources Officer (ERO) to coordinate and support the selection, deployment and assessment of electronic resources. Commercially acquired electronic resources at the University Library account for approximately $5 million annually. In addition to coordinating commercial acquisitions, the ERO will be called upon to assist in the implementation of locally developed resources, including the digitization of collections being undertaken by Google and the University Library’s own reformatting programs. The ERO will report to, and work closely with, the Library’s Collection Development Officer, as well as Library subject selectors, key staff in Library Acquisitions, and public services staff responsible for promoting and supporting resources for the campus. Given that responsibility for acquisitions and collection management is highly distributed across the Library system, a key component of successful ERO performance will be ongoing and effective communication with Library, campus, and external colleagues.

Further details, including qualifications and application process, may be found at http://www.lib.umich.edu/hr/employment/ero.html or by contacting Library Human Resources at libhumres@umich.edu or 734-764-2546.

Review of applications will begin 1/31/06 and continue until the position is filled. The University of Michigan is a non-discriminatory, affirmative action employer.

DARTMOUTH COLLEGE LIBRARY HANOVER, NEW HAMPSHIRE

Dartmouth College is a highly selective undergraduate college with distinguished professional schools of business, engineering, medicine and 20 graduate programs in the arts and sciences, serving approximately 4,000 undergraduate and 1,800 professional and graduate students. The College has been at the forefront of American higher education since its founding in 1769. At the heart of Dartmouth College is one of the oldest research libraries in the United States. Eight libraries, distributed across various academic centers, house the 2.5 million volume print collection and provide access to a rich array of digital resources, supported by a technically robust networked environment. The College Library has an annual budget in excess of $20 million; more than $6 million supports the acquisition of print and digital material. The Dartmouth College Library is an active member in many organizations, including the Northeast Research Libraries

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(NERL) consortium, the Digital Library Federation (DLF), the Coalition for Networked Information (CNI) and the Association of Research Libraries (ARL). For more information, including a complete job description and a complete list of qualifications for the position listed below, consult http://jobs.dartmouth.edu/.

The Dartmouth College Library is reorganizing its collections and information management functions to better align operations and strategy with the rapidly changing environment in Scholarly Communication, publishing and underlying information technologies. Dartmouth seeks to recruit an energetic, service-oriented professional for the following newly created position: Digital Resources Coordinator.

RESPONSIBILITIES: Reporting to the Associate Librarian for Information Management, this position is expected to provide leadership and coordination for the selection, integration, development, and management of digital resources.

QUALIFICATIONS:
- A graduate of professional degree in a relevant field.
- A minimum of 5 years related experience, including experience with digital resources.
- Experience with collection management and development in a large research library.
- Experience with direct provision of information to faculty and students.
- Commitment to diversity and to serving the needs of a diverse population.

APPLICATION: Review of applications will begin 6 February 2006; applications will be considered until the position is filled. Send resumes to: Digital Resources Coordinator Search, Office of the Dean of Libraries, Dartmouth College Library, 6025 Baker-Berry Library, Hanover, NH