

# 知识创新与图书馆服务

第四届上海国际图书馆论坛论文集 Intelligence, Innovation and Library Services Proceedings of the Fourth Shanghai International Library Forum



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## 数字时代的图书馆与情报服务

Library and Information Service in the Digital Age

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### 数字化时代的高等教育国际化与全球访问

Ellen H. Hammond (美国耶鲁大学东亚图书馆)

文摘 此文主要探讨美国高等教育如何对需要大型大学图书馆提供的访问服务做出新的思考。它特别探讨了针对美国一所研究型大学的国际化为世界图书馆用户创造了一种需求并且证明这种需求符合学术和东亚国家学生的需要。它进一步表明了即使在准入时期,网络元数据和全文本也是人们不断需要的。数字时代的一个悖论就是不断增长的需求是为了图书馆在国外的馆藏和服务。

关键词 数字时代 教育国际化 全球访问

#### Internationalization in Higher Education and Global Access in a Digital Age

Ellen H. Hammond

(East Asia Library, Yale University, USA)

Abstract This article examines how the internationalization of higher education in the United States requires new thinking about access services provided by large academic libraries. Specifically, it explores how a strategic focus on internationalization in one American research university has created a need for global library user services and provides a case study of how this need is being met for faculty and students going to countries in East Asia. It further suggests that even as "access" is increasingly assumed to indicate online availability of metadata and full-text, one of the paradoxes of the digital age is the increasing need to assure physical access to library collections and services abroad. ©

Keywords Digital Age Internationalization of education Global access

#### Trends in the Internationalization of American Higher Education

American universities have strongly endorsed the concept of internationalization, and the education of "global citizens" has become a standard goal for most institutions. ② Study abroad, the creation of branch campuses overseas, recruitment of international students, targeted development of area studies and language programs, and overall curriculum overhaul are some of the methods commonly used to achieve this goal. Many universities have also joined international university consortia or nurtured bilateral institutional relationships to facilitate international partnerships and networking. They have also worked to facilitate opportunities for faculty research and student learning and internships abroad.

As a result of internationalization efforts, American university campuses are increasingly diverse. While international students have always accounted for a large share of the graduate student population, there is an increasing number coming from abroad for a four-year undergraduate degree. More American undergraduates are choosing to participate in study abroad programs, and graduate students (at least until recently) have been able to take advantage of competition in the air travel industry and the availability of foundation and university

① The term access is used in this paper in the broad sense to include not only access to print collections via circulation privileges but also access to physical library study space, staff, and services in library facilities.

② For a general but dated survey of this change from a library perspective see Bonta, Bruce D. "American Higher Eduation and International Programs: Background, Issues, and a Future Agenda," in Bonta, Bruce D. and James G. Neal, eds., The Role of the American Academic Library in International Programs (Greenwich, CT: JAI Press, 1992), pp. 1—23. The Chronicle of Higher Education is the best publication for following more recent trends.

funding in order to make international research travel a standard component of graduate programs. The study abroad option is no longer limited to those doing language and culture study: professional programs and science and technology departments are often just as likely as humanities and social science programs to send students beyond U. S. borders.

These trends have been pronounced at Yale University, a major research university located in New Haven, Connecticut. The internationalization effort has been guided by a three-year strategic plan that emphasizes the positioning of Yale as a "global university of consequence." The plan details a long list of initiatives to expand and improve international experiences for students, bring talented international students and scholars to Yale, facilitate international collaborations, and increase Yale's visibility abroad. The plan also highlights international initiatives by campus museums and libraries and suggests leveraging relationships already established by librarians and curatorial staff overseas.

As a response to the University-wide initiative, Yale University Libraries identified the development of international programs as one of its strategic priorities. The expansion of "resources and opportunities for international collaboration and information sharing" and support of University international activities became the overarching goals. 
As a result, the Library has collaborated with the Yale Office of International Affairs to support a number of high-profile initiatives involving government and university-level exchanges with countries in East Asia and other regions. The experience at Yale is consistent with the results reported by Linda K. W. Becker in her study of successful patterns of internationalization in Australian libraries. At Yale, librarians have been proactive in sponsoring international programming and their collaborations with international partners have influenced institutional change.

#### The Impact of Internationalization in one Yale Library Department

How do these trends play out within individual units in the Yale University Libraries? Since the University has placed the most emphasis on establishing linkages in East Asia (primarily China, Korea, and Japan), the experience of the East Asia Library is suggestive of the local effects of internationalization. As a result of the expansion of China, Japan, and Korea-related programming, there has been an increase in the number of international scholars accessing the East Asian collections, more calls to sponsor tours and exhibits for international delegations, involvement in local conferences arising from overseas collaborations, opportunities to sponsor visiting librarians, and invitations to participate in a range of events on campus. Since many universities and libraries within East Asia have long emphasized international-level activity, the new openness of Yale (and other American universities) to formal exchanges and partnerships has been welcomed and opportunities seized with alacrity. Therefore, the increasing amount of *inbound* traffic to the East Asia Library has not been unexpected.

What has been surprising is the way East Asia Library public services have needed to expand and diversify due to changes in the *outbound* traffic. Internationalization at Yale has fostered growth in the number and type of programs drawing faculty and students abroad. For example, the Peking University-Yale University Joint Undergraduate Program in Beijing represents a new style of international education in which

① Levin, Richard C. and Linda Koch Lorimer, "The Internationalization of Yale: 2005—2008 The Emerging Framework," Dec., 2005. Accessible: http://world.yale.edu/about/pdf/Internationalization\_Yale.pdf.

<sup>2 &</sup>quot;Yale University Library Action Plan," 2003. Accessible: http://www. library. yale. edu/strategicplanning/actionplan. html.

<sup>3</sup> Becker, Linda K. W., "Globalisation and Internationalisation: Models and Patterns of Change for Australian Academic Librarians," Australian Academic and Research Libraries: AARL, v. 37 (4), Dec. 2006, p. 289. This essay is the final article in a three-part series that is one of the few recent, extended examinations of the academic library experience with internationalization. The earlier articles appeared in AARL v. 37 (2) and v. 37 (3).

undergraduates are in residence at a foreign university studying a range of subjects with counterparts from the home institution. While Chinese language and Chinese content courses are offered, they are not required. The Chinese and American students are as likely to be studying together in a social science, science, or humanities course that does not relate to East Asia. In like fashion, Yale is offering summer school classes at the University of Tokyo that are open to students from Yale and from the home institution. Internship programs—the "International Bulldogs" —send Yale undergraduates to major cities in East Asia and other regions for summer training. These new programs—which increasingly bring a non-area studies clientele into East Asian study abroad—present both challenges and opportunities for enhanced public services by East Asia Library staff, as outlined below.

What other factors influence the decision of individual faculty and students to travel abroad for study and research? For many students, of course, "abroad" is actually home, as 16% of the student body was international during the 2006—07 school year. ① For undergraduates, who are increasingly being required to work with primary source materials, vacations and summer breaks in their home country represent excellent opportunities to do the research required for senior essays and papers. Enterprising American undergraduates also find ways to conduct research projects overseas. Faculty and graduate students, especially those in East Asian area studies, have always considered sojourns in East Asia essential for their work. University-level partnerships with universities in East Asia are allowing them new opportunities to teach and research in China, Japan, and Korea. (This trend dovetails with others—such as the popularity of "crossing borders" research topics—to make the population of individual researchers and their research destinations increasingly diverse.) What these user groups have in common is a need for research support both before and after they go abroad.

Faculty and students interested in East Asia can already take advantage of a number of innovative programs to obtain document delivery services and borrow books from libraries in East Asia. However, the ubiquity of online library catalogs on the web and better access to information about special collections and other resources abroad have actually made the research trip increasingly important. While the access over ownership model has had successes in creating a rich national collection of international resources in U. S. academic libraries, knowledge of the inevitably richer troves of materials in the countries of origin continues to grow due to the Internet. Digitization of photographs, rare books, ancient documents, contemporary archives, historic periodicals, and other primary and secondary resources offers researchers a tantalizing glimpse of larger archival and special collections that will never be fully available to them in the U. S. through interlibrary loan or online. This is one of the paradoxes of the digital age. In a hybrid culture of print and digital resources, the amount of information available online is serving to lead more researchers to libraries and archives abroad and therefore increase their need for improved physical access to these collections. In addition, the expectations that academic library users have for online access are paradoxically increasing their need for a research base in libraries when they are abroad for study and research.

#### The Re-conceptualization of East Asia Library Pubic Services

The orientation of East Asia Library public services has gradually shifted with the development of new international programs at Yale. Previously, the service was aimed almost exclusively at on-site patrons, with the definition of "on-site" shifting gradually from face-to-face encounters at the East Asia Library reference desk and in staff offices to e-mail exchanges and then to virtual reference service through the Library-wide service. However, the perspective was generally Yale and U. S. -centric, with an emphasis on finding information currently available at Yale or making it available locally through purchase, loan, or document delivery. Internationalization and the expansion of programming abroad encouraged more global thinking.

① "Factsheet: Some Facts & Statistics about Yale University," Accessible: http://www.yale.edu/oir/factsheet.html#InternationalProfile.

New services developed to support Yale library users beyond Yale included:

- Sessions for student and faculty planning research trips in East Asian countries. These sessions were designed to both impart information (about identifying libraries and using them effectively, obtaining expert advice from librarians, cultural and institutional differences in library organizations, bookstores and other information sources, etc.) and to allow information exchange among participants. ①
- Orientation for students enrolled in summer school courses. For example, a session organized in
  the spring of 2008 for students enrolled for a Japanese film course in Tokyo that summer included
  students who had never been to Japan. This meant that, unlike in the past, no prior knowledge of
  doing research abroad or in East Asia could be assumed.
- Web pages for students participating in the Peking University-Yale University Joint Undergraduate Program in Beijing to provide basic information about setting up proxy access to Yale databases, services in the Peking University Library, how to interpret various terms in the local Peking University online catalog, etc. ②

All of the public services mentioned above are local and unilateral—efforts developed by East Asia Library staff to prepare library users for academic travel. What became clear, however, was the need for bilateral cooperation to assure that Yale students and faculty would have access to the study spaces, collections, and expertise that they would need during their time overseas. Just as Yale University was formally establishing partnerships with Peking University, the University of Tokyo, and other institutions in East Asia, the East Asia Library needed to consider the linkages with counterpart libraries to ensure that the expectations of its users for access to information would be met. The University's strategic partnerships provided the Library with a strategic window of opportunity to extend access services beyond the boundaries of Yale and the U.S.

#### Precedents for International Library Partnerships

A search of the library literature for models of bilateral research library partnerships provided surprisingly little guidance in thinking about how to support Yale library users abroad. There is an extensive literature in the field of international librarianship with general recognition that the "demand for information by a more aware global public requires greater attention to the world's information structure" and stress on the importance of "envisioning and implementing adequate systems and services for the international effort." ③ However, the articles and books in the area of international librarianship tend to cover a broad range of issues with few thematic links and no relationship to the problem at hand. ④

Bliss<sup>®</sup> has identified four foci in this disparate group of writings, (which she generally termed "neither

① The inspiration for these sessions was a panel organized by the Council on East Asian Libraries Public Services Committee at the 2004 Annual Meeting. The panel Power Point presentations are available at: http://www.library.umass.edu/subject/easian/CPS/#2004.

② The web page, constructed by Tao Yang, is available at: http://www.library.yale.edu/eastasian/pkulib.html.

③ Stueart, Robert D., International Librarianship: a Basic Guide to Global Knowledge Access, (Lanham, Md.: Scarecrow Press, 2007).

① Examples of edited texts with this type of broad but completely disparate content include: Harrison, K. C., International Librarianship, (Metuchen, N. J.: Scarecrow Press, 1989), Bonta, Bruce D. and James G. Neal, eds., The Role of the American Academic Library in International Programs (Greenwich, CT: JAI Press, 1992), Carroll, Frances Laverne and John Frederick Harvey, eds., International Librarianship: Cooperation and Collaboration (Lanham, Md.: Scarecrow Press, 2001), and Kesselman, Martin Alan and Irwin Weintraub, eds., Global Librarianship (New York: Marcel Dekker, 2004).

⑤ Bliss, Nonie J., "The Emergence of International Librarianship as a Field," Libri v. 43 (1), Jan. —Mar. 1993, pp. 39—52.

substantive nor analytical" ①), including theoretical attempts to define the field and relate it to comparative librarianship, consideration of international and cultural issues in library school education, overviews and recommendations regarding bibliographic access through international standards and cooperation, and finally, professional practice in the international arena (including "first world" library assistance and expertise in developing countries, services for international students, individual and institutional collaborations, professional exchanges, etc.). The last area promised considerable relevance. However, few of the articles reviewed for this paper related such international practices to access for home institution users abroad.

The most relevant set of publications in the library literature featured examples of library twinning and sister libraries. The familial metaphor for these relationships is unfortunate given that fact that purposeful, strategic, and shifting alliances to obtain needed services is the direction the East Asia Library hopes to move. Nevertheless, several of the case studies and methodologies presented in this literature are useful. The "twinning" concept emerged in the early 1990s with a conference held in Canada sponsored by the Banque internationale d'information sur les États francophones, @ which later inspired a volume by Doyle and Scarry published by Unesco, Guidelines on Library Twinning. ③ Within the United States, twinning has been normalized as the sister library concept and developed by the American Library Association (ALA), especially its International Relations Round Table. ④ The best overview of the development of this program is by its founder, Sarah Long. ⑤

Both Unesco and later IFLA and the ALA continued to champion the library sibling concept. Unesco emphasizes primarily amorphous benefits accruing from such partnerships:

- Promoting moral and intellectual "solidarity"
- Stimulating inter-cultural dialogue
- Reducing North-South inequality
- Encouraging resource sharing 6

These outcomes reflect a tendency in discussions of twinning to view nebulous goals such as cultural understanding and multicultural exchange(and a global library tourism of sorts) as sufficient justification for developing partnerships.

The Doyle and Scarry handbook, however, is a refreshing corrective to so much of the literature on international library exchanges. This publication is one of the few manuals for international library partnerships and provides useful recommendations related to needs analysis, goal-setting, selecting a partner library, contractual issues, and assessment. Also included is a sample "Memorandum of Understanding (MOU)," a basic document governing contractual arrangements. It suggests that academic and research libraries consider collection development initiatives, document delivery, inter-library loan, staff exchange, joint conferences, and collaboration on bibliographic instruction and user orientation as possible partnership outcomes. ©

One of the most instructive examples of academic library twinning is reported by Sinitsyna and Hill and

① Bliss, Nonie J., "The Emergence of International Librarianship as a Field," Libri v. 43 (1), Jan. —Mar. 1993, p. 50.

② International Seminar on the Development of Twinning Models for the Libraries in the South and in the North, June 20—21, 1991, Ottawa, Canada.

Doyle, Robert P. and Patricia Scarry, *Guidelines on Library Twinning*, (Paris: General Information Programme and UNISIST, United Nations Educational, Scientific, and Cultural Organization, 1994). The conference premise and sponsorship led to the tendency to focus on twinning relationships between institutions in developed-developing nation pairs.

The IRRT's newsletter, International Leads, regularly features stories about such partnerships.

Sarah, "Library to Library: Global Pairing for Mutual Benefit," New Library World, v. 102 (3), 2001, p. 79.

<sup>6</sup> Doyle, Robert P. and Patricia Scarry, Ibid, p. iii.

<sup>(7)</sup> Ibid, p. 11.

describes a partnership between the Vassar College Libraries and the All-Russia State Library for Foreign Literature. <sup>①</sup> This is one of the few collaborations that reported an extension of access and public services abroad, with Sinitsyna's institution providing orientations to Moscow libraries for Vassar students and faculty. The authors conclude:

In our experience, perhaps the most exciting aspect of a twinning relationship is not merely that it involves one library with another, but that it fosters a general sense of cultural linkage which can lead to patterns of contact which enrich and supplement those that are customary between a library, its collections, and its traditional patrons. The notion that libraries should be, in the spirit of their collections, institutions that transcend walls and borders is especially timely in the age of the emergence of the World Wide Web in that it places libraries in the strategic position of being representatives, facilitators, advocates, and sources for the universal exchange of information that is burgeoning on the Web virtually. If libraries are to retain this vantage and forge the links necessary to survive and evolve in this inter-institutional and trans-cultural information framework, they will have to do so through cooperative effort, assisted by the same technologies that are conditioning the changing expectations of information seekers. ②

#### The Yale East Asia Library and User Access to Japanese University Libraries

Sinitsyna and Hills' emphasis on the "inter-institutional and trans-cultural information framework" and the best practices outlined by Doyle and Scarry combine in arrangements between Yale University Library and libraries at two institutions in Tokyo, Japan, the University of Tokyo and Waseda University. The arrangements are formalized in Memorandums of Understanding (MOUs) and seek to "transcend walls and borders" by providing library access to Yale users whenever they are in Tokyo for research and study. They were facilitated by university-level agreements concluded earlier, although the desire for greater accessibility to these libraries had been a long-standing goal of East Asia Library staff and the possibility had been bruited before the universities began to engage in their own MOU negotiations.

The library-level MOUs provide for access services for faculty and students during research trips to Tokyo and New Haven. They greatly improve on access arrangements that are permitted for in-country students and scholars and are meant to cover individuals doing personal research or study. They are provided free of charge. (Anyone from Yale or either of the Japanese universities officially affiliated with the partner institution normally gains library privileges through the ID card they receive as part of this affiliation.) From the Yale perspective, these agreements help extend library access services to Yale users abroad in order to address several issues and problems:

- Students in the University of Tokyo-Yale summer program needed access to the library for course assignments. Without the library card issued under the terms of the MOU, their status would not have allowed them to use the library or check out books.
- Beyond the standard seven days usually allowed to visiting researchers from abroad, students and faculty had always needed to resort to personal connections to obtain extended access to Waseda's library.
- The Waseda and University of Tokyo library environments are most nearly like those in an American university library setting. They offer easy access to excellent collections and services that are not easily accessible elsewhere in Tokyo. (The National Diet Library, for example, while it houses outstanding collections, has closed stacks, does not allow individual borrowing, and has considerable bureaucracy to contend with to gain access, in-building circulation, and copy services.)
- · Students and faculty in temporary quarters while abroad during school vacation and break periods often do not

① Sinitsyna, Olga V. and Thomas E. Hill, "Moscow-Poughkeepsie: Report on a Twinning Libraries Experiment," IFLA Journal, v. 23 (3), 1997, pp. 192—196.

② Ibid., p. 196.

have network connections in their lodgings. Access to libraries also allows for Internet and computer access for research purposes and network connections for laptops that will allow proxy or VPN access to electronic resources licensed by Yale. In some cases, there are electronic resources (especially rich CD collections) that visitors can also access, resources that may not be available at the home institution.

• In addition to the access to collections and study space, reference librarians in the host institution can provide guidance. (At both Tokyo host institutions and at Yale, this type of service can be subsumed under the rubric of "support services for international students," which is a topic quite well covered in the literature of international librarianship.)

The MOUs are of two types. The University of Tokyo-Yale agreement, which provides circulation privileges, goes the farthest in extending access. It is currently in a one-year pilot phase. Responsibility for replacement costs if a book is borrowed or damaged is borne by the institution with which the borrower is affiliated (and it is in a position to then charge the borrower for the costs.) The wording for this clause is based on standard wording in U. S. inter-library loan agreements, the clearest indication that access is moving from a national to an international level. Circulation periods are consonant with those for similar groups of users at the University of Tokyo (graduate students, undergraduates, etc.) The agreement with Waseda University is less specific. As Doyle and Scarry note, flexibility and some casualness in an exchange can be expedient in some partnerships,  $\mathbb O$  and the Waseda University-Yale University written agreement does not disclose that, in fact, reciprocal terms have been agreed that allow students and scholars from each institution extended access privileges (although this does not extend to circulation.) The MOUs, despite their dissimilarities, are both based on mutual obligations and benefits. They are between libraries in similar institutions,  $\mathbb O$ —three prominent universities that have placed high priority on internationalization. These institutions expect both inbound and outbound movement of students and faculty to continue to increase, and these library agreements are one step toward better support for those taking advantage of the trend.

#### Conclusion

With students and faculty increasingly moving around the globe to study, teach, and conduct research, the geographic location of the university means less. This is not just a function of the ubiquity of the virtual world of digital information. In fact, the necessity to go abroad for research can, paradoxically, increase as a result of the hybrid nature of information resources worldwide. Academic libraries will need to prepare for services that support their users globally. Taking advantage of strategic bilateral partnerships with counterpart libraries abroad is one way to mediate support on their behalf. It is important to remember that "global access" should refer not just to information retrieved online, but also to the myriad institutions beyond national borders that provide access to information resources and services. The importance attached to this access by student and scholars at Yale indicates that the notion of the "library as place" is still important in the digital age. Ensuring that academic library users can enter those places worldwide is a new responsibility for librarians in the internationalized university of today.

① Doyle, Robert P. and Patricia Scarry, "Moscow-Poughkeepsie: Report on a Twinning Libraries Experiment," IFLA Journal, v. 23 (3), 1997, p. 9.

② It should also be noted that these universities are all situated in advanced industrialized countries; Hazen has the best discussion of the complexities of engineering agreements when there are substantial inequalities between countries and institutions. Hazen, Dan, "Dancing with Elephants: International Cooperation in an Interdependent (But Unequal) World," Collection Management, v. 24 (3/4) 2000, pp. 185—213.

③ In the future, worldwide networks of cooperating institutions or consortial arrangements might obviate the need for bilateral agreements, just as the Research Libraries Group membership enabled a national-level access services arrangement.