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## Plan for the South Asia Materials Project's Open Archives Initiative

### Mission

The South Asia Materials Project's (SAMP) Open Archives initiative will create and maintain, for non-commercial open access, a collection of materials for the study of South Asia.

### Rationale

Access to resources is a fundamental requirement for South Asian studies. This initiative addresses increased expectations by scholars for integrated and open access to historical and contemporary materials across all disciplines. While responding to the expectations of North American scholars, it is also desirable that researchers elsewhere in the world have access to such materials. A platform of texts and data shared worldwide will improve the quality of scholarship and increase the likelihood of collaborative research by peers across national boundaries.

During the past decade, collections for South Asian studies have not benefited from expanded digital resources in the same proportion as library collections for other world regions. South Asia digital collections are dramatically smaller than those for North American and European studies. Commercial vendors often have been concerned about a limited market for products from South Asia in North America. Commercial products, when created and offered, have often been expensive in North America, and prohibitively so in South Asia. Google Books and other mass digitization projects are frequently focused on publications in European languages, exclude publications with complex foldouts and other unusual formats, and recently limited their digitization and delivery of resources that might be the objects of conflict concerning intellectual property rights. The coordinated activities proposed here will begin to reverse the current paucity of digital resources.

The Open Archives initiative is based on the premise that library subject specialists focused on the South Asian subcontinent are in the best position to set priorities for the future of library resources on South Asia; to direct an initiative for expansion of those resources; to create complementary relationships with mass digitization projects; and to collaborate in the development of improved tools for the discovery of digital objects.

### Digital Content

The Open Archives initiative will address the needs of all academic disciplines, from the humanities through the sciences. Several criteria will be used to select resources for digitization and assign priorities for that work. Those criteria will be used to determine which digitization will be supported by membership funds, when targeting resources for inclusion in external funding bids, and when vetting contributions of digital content in lieu of membership costs.

Criteria for selecting content include the following:

- Materials must have **high value for research**;
- Those resources addressing the needs of **many users** will rank high;
- We will **not duplicate content** if resources are available from a credible, sustainable open source of high quality;
- Materials that are **at risk** – for instance, because of highly acidic paper, location in areas of conflict, or housing in unstable storage – will receive a higher priority; and
- We will seek to digitize resources that **complement and complete** collections already available.

Please see Appendix 1 for an enumeration of preliminary recommendations for digitization during the first SAMP Open Archives initiative five-year plan.

### **Legal Status, Governance, and Administration**

The Center for Research Libraries (CRL) will serve as the legal, administrative, and fiscal home of the SAMP Open Archives initiative. The Center for Research Libraries is a non-profit, 501 c (3) organization, incorporated in the State of Illinois in 1949 and governed by a Board of Directors. It is accountable to more than 200 voting member institutions (largely academic and independent research libraries in the United States and Canada).

In addition to affording an institutional home, there are other advantages in the relationship with CRL. Specifically, CRL has served as the home of the South Asia Materials Project for many years and has provided an institutional base for SAMP and the other Area Materials Projects (AMPs). CRL has provided administrative leadership for the AMPs and served as the home for externally-funded initiatives in support of SAMP's mission. It has a reputation for stewarding funds from AMP members and deploying those funds for designated purposes. CRL also has a strong record of encouraging and supporting digitization of area studies materials – in FY14 and FY15, CRL provided matching funding for digital projects undertaken by SAMP and the other AMPs – and in coordinating systematic digitization of international collections (for example, the World Newspaper Archive, a community-driven effort to provide persistent electronic access to newspapers from the holdings of CRL and other major newspaper repositories).

The Open Archives Committee is constituted as a standing committee of the South Asia Materials Project. The Open Archives Executive Board organizes and leads the activities of institutions federated for the mission.

The Open Archives Committee is governed by a five member Executive Board: three SAMP members who are members of the Open Archives Committee, each with a maximum term of three years in staggered rotation; the SAMP Chairperson (*ex officio*); and a representative from The Center for Research Libraries (non-voting *ex officio*). The Executive Board will select a Chair from among its members for a one year term; reappointment is encouraged.

Please see Appendix 3 for additional information on the structure of the Open Archives Committee.

Initially, CRL will hire a project manager for the Open Archives Committee and the initiative. CRL will be compensated for this support, initially from membership fees. As funds permit in the coming years, the SAMP Open Archives Committee will hire staff members to assist the project manager in preparing additional grant funding proposals, managing the workflow of items selected for inclusion in the SAMP Open Archives collection, disseminating information about the Open Archives initiative and the resources created, and other duties necessary to the mission of the SAMP Open Archives Committee. Staff will be hired by CRL and CRL's associated expenses will be compensated by the SAMP Open Archives Committee.

Please see Appendix 4 for a letter of commitment from the Center for Research Libraries.

### **Financial plan**

Membership fees provide the financial core for the SAMP Open Archives initiative. Those fees are paid by a subset of SAMP members. In addition to the membership fees, the SAMP Open Archives initiative expects to receive in-kind contributions (digital files or contributed work) in lieu of membership fees from some participating members. To augment the funds contributed as membership fees, the SAMP Open Archives initiative will actively seek grants to support the development of digital content as described earlier in this plan. The organizing committee of the SAMP Open Archives initiative has compiled a list of funding agencies that will be approached to support the initiative. The SAMP Open Archives Committee will coordinate approaches to funders with CRL where appropriate.

Three spreadsheets are included in Appendix 2. They include an Income Statement, Cash Flow Projection, and Balance Sheet for the SAMP Open Archives initiative.

A statement of “return on investment” will be included in the annual reports on the Open Archives initiative. It will include the value of assets created by expenditures of the SAMP Open Archives initiative, those provided by members as in-kind contributions, and the assets created by other institutions under the direct stimulation of the Open Archives initiative.

Several principles govern all financial transactions of the SAMP Open Archives initiative. First, all fiscal activities will be transparent to the participants and stake holders. Second, all fiscal activities will be monitored and audited by a certified public accountant. Third, spending will not be permitted to exceed receipts. Fourth, all funds expended for digitization and related activities will be committed only after a review to ensure that staff conducting the work, especially in South Asia, are treated ethically with respect to salaries and working conditions.

### **Technical Infrastructure**

The SAMP Open Archives initiative requires innovative and efficient approaches to digitization and discovery of resources. Consistent with the light organizational structure of the Open Archives initiative, resources will be made accessible from the federated participants and the repositories to which they deposit their digital assets. This will enable projects to leverage existing capacities and to place new resources in repositories that are most appropriate for the digital objects.

Pursuant to the objective of creating content that is as openly available and easily discoverable as possible, participants in the Open Archives initiative will be required to create or otherwise include sufficient metadata to support superior search and discovery methods. Metadata must be presented in a format that is shareable or harvestable to enable discovery for the greatest number of potential users.

Staff of the Open Archives initiative will create an interface for discovery of open access South Asian research resources – both those created under the initiative and by other programs.

For all digital assets created with Open Archives funds, CRL will work with the participant or repository to arrange for acceptable terms of access, discovery, and retention of resources consistent with the guidelines established under the Open Archives initiative as well as with CRL’s own policies and requirements for funded projects. Agreements will generally include a provision for the deposit of a copy of the digital files and metadata with CRL for long-term retention and presentation. The agreements will also include provisions and terms for receiving content if the partner or third party ceases to function or is no longer able to provide access to content.

### **Membership**

Institutional membership in the Open Archives Committee requires simultaneous membership in SAMP. Membership is for periods of five years. Institutions joining during the middle of a five-year period are fully vested as participants in setting priorities.

Institutions may join through cash contributions (a minimum of \$25,000 paid over the first five years); via the creation and contribution of new digital assets (a minimum of 500 digital volumes over five years, predicated on the expectation that total digitization costs will have been at least \$25,000); through contributions of time for the activities of the Open Archives Committee, including delivery of services (a minimum of 0.2 FTE per year for five years); or other substantial contributions to be approved by the membership. Payments in cash or in-kind can be spread over multiple years.

### **Sustainability**

Resources created under the SAMP Open Archives initiative will be freely available via non-commercial open access. As a cooperative program with distributed technical infrastructure, the responsibility for sustainability of resources will be similarly distributed among host institutions and repositories. Funding to ensure the longevity of the SAMP Open Archives initiative will come from membership fees and other sources.

To best ensure persistent access to resources created under the Open Archives initiative, the Open Archives Committee will execute agreements through CRL with participating repositories that specify

terms of hosting, access and minimal terms for preservation of resources. Minimal expectations for most repositories will be as follows:

1. Host digital files and accompanying metadata on an openly accessible web platform.
2. Provide metadata consistent with national standards for MARC cataloging or other relevant schemas depending on format.
3. Expose metadata for harvesting under the Open Archives initiative and by other interested institutions.
4. Minimal technical specifications will start with those common for SAMP and CRL for textual materials, but will allow for the specification of higher standards for other formats, such as media and videos.

As the administrative home of SAMP and the Open Archives initiative, CRL is committed to provide for the long-term maintenance of digital files and the associated metadata created under the Open Archives initiative. Master files will be maintained locally at CRL, with a service copy stored online in the “capacity” storage unit of CRL’s NAS (network-attached storage) system; an additional backup copy will be stored off-line, either at a local CRL host server or at a DDS processing server. CRL routinely backs up its information on a daily and weekly basis, stored on an external storage unit. For digital resources received and stored for backup and preservation purposes, CRL will manage and maintain the files; the Open Archives Committee will pay for the associated storage costs.

Prepared by:

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Appendix 1

**Preliminary Recommendations for Digitization during the  
First SAMP Open Archives Initiative Five-Year Plan**

The following recommendations were prepared by a working group of SAMP members with a declared interest in becoming founding members of the Open Archives initiative. The recommendations will inform but not guide the work of those preparing the first five-year plan.

Collaboration with **institutions** able to provide print or microform resources for digitization will be fundamentally important to the success of the Open Archives initiative. Beginning from North America, the key institutions include: member libraries of SAMP Open Archives Committee and other institutions interested in cooperation or contribution. In Europe, the British Library with its historically deep holdings stands out as a key collaborator. Within South Asia, it will be important to engage constituent members of the Council of American Overseas Research Centers so as to facilitate access to and network with strong South Asia based library and archival collections. These include the American Institutes in Bangladesh, India, Pakistan, and Sri Lanka. Further, we will work with both non-governmental and governmental bodies in South Asia such as the Roja Muthiah Research Library, Madan Puraskar Pustakalaya, the Centre for Studies in Social Sciences Calcutta, and government archives at both the national and regional level that are willing to collaborate.

Considering the selection criteria for **digital content** described in the Open Archives plan, the working group recommends the following categories as the most important candidates for digitization.

**I. Official publications from colonial British India<sup>1</sup>**

1. Gazetteers, including the provincial, regional, and district gazetteers as well as those of the Princely States.
2. Census reports, both before and after independence.
3. Statistical reports, such as those on agriculture, trade, commerce, and sanitation.
4. Annual reports of departments produced for the Presidencies and Princely States.
5. Committee and commission reports, for example, those on plague and famine.

**II. Nineteenth- and twentieth-century serials and newspapers**

Specific titles for digitization should be selected from standard bibliographies.

**III. Nineteenth- and twentieth-century monographs**

Titles from the *National Bibliography of Indian Literature, 1901-1953*. Microfilm of titles already preserved under the Microfilming of Indian Publications Project (MIPP) should be scanned from the microfilm and titles not yet preserved under MIPP should be digitized.

**IV. Other resources, based on Open Archives initiative criteria and proposals**

Examples of manuscript collections include the Muslim League papers and the Indian National Congress papers and official correspondence.

The working group further recommends that when addressing these bodies of materials, the Open Archives initiative should make accessible links to digitized and born-digital resources in stable, open archives and focus Open Archives funds on digitizing complementary materials. Many of these resources should be made available as structured digital data in addition to scanned page images.

**Additional factors** when considering resources to target for digitization will include ease in developing agreements for institutional collaboration with holding libraries; distribution of coverage across disciplines, languages, and geographical regions; and the extent to which digitization may complement government initiatives in South Asia to make available contemporary government data.

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<sup>1</sup>It will be especially important to take into account holdings at the British Library, in South Asian government archives, and with government agencies.

Appendix 2

**Income Statement, Cash Flow Projection, and Balance Sheet**

**SAMP Open Access Committee  
Income Statement  
[date]**

	<b>Projection to end of current fiscal year</b>	<b>Year-to-date</b>
<b>Income</b>		
Membership fees received		
Grant funds received		
Other receipts		
Total income	_____	_____
<b>Expenses</b>		
Operating expenses		
Employee expenses		
Administrative expenses		
Depreciation		
Total expenses	_____	_____
<b>Net Income</b>	=====	=====

Notes:

<b>SAMP Open Access Committee</b>					
<b>Cash Flow Projection</b>					
[date]					
	<u>FY16</u>	<u>FY17</u>	<u>FY18</u>	<u>FY19</u>	<u>FY20</u>
	<u>(Year 1)</u>	<u>(Year 2)</u>	<u>(Year 3)</u>	<u>(Year 4)</u>	<u>(Year 5)</u>
<b>Beginning Cash Balance</b>	\$0	\$3,500	\$10,000	\$15,500	\$22,250
<b>Cash Receipts</b>					
Membership fees	\$60,000	\$80,000	\$105,000	\$120,000	\$120,000
Grant funding - planning workshops		\$50,000	\$50,000		
Grant funding - second digitization project*		\$150,000	\$150,000		
Grant funding - third digitization project			\$150,000	\$150,000	
Grant funding - fourth digitization project				\$150,000	\$150,000
Grant funding - re-grant program**			\$80,000	\$80,000	\$80,000
Grant funding - endowment		\$500,000			
Endowment payout†			\$25,000	\$26,250	\$27,560
Miscellaneous revenue	\$2,000	\$2,000	\$2,000	\$2,000	\$2,000
Total cash receipts	<u>\$62,000</u>	<u>\$782,000</u>	<u>\$562,000</u>	<u>\$528,250</u>	<u>\$379,560</u>
<b>Cash Disbursements</b>					
Planning workshops††		\$50,000	\$50,000		
First digitization project - membership funds	\$20,000	\$20,000	\$70,000	\$85,000	\$85,000
Second digitization project		\$150,000	\$150,000		
Third digitization project			\$150,000	\$150,000	
Fourth digitization project				\$150,000	\$150,000
Re-grant program			\$80,000	\$80,000	\$80,000
Statistical data set creation	\$10,000	\$10,000	\$10,000	\$10,000	\$10,000
Web services		\$3,000	\$4,000	\$4,000	\$4,000
Staff travel expenses	\$1,500	\$1,500	\$2,500	\$2,500	\$2,500
Marketing expenses	\$2,000	\$3,000	\$3,000	\$3,000	\$3,000
Staff compensation	\$15,000	\$30,000	\$30,000	\$30,000	\$30,000
Establishment of endowment		\$500,000			
CRL expenses‡	\$10,000	\$8,000	\$7,000	\$7,000	\$7,000
Total cash disbursement	<u>\$58,500</u>	<u>\$775,500</u>	<u>\$556,500</u>	<u>\$521,500</u>	<u>\$371,500</u>
<b>Net Cash Expenses (Shortfall) for the Period</b>	<u>\$3,500</u>	<u>\$6,500</u>	<u>\$5,500</u>	<u>\$6,750</u>	<u>\$8,060</u>
<b>Ending Cash Balance</b>	<u>\$3,500</u>	<u>\$10,000</u>	<u>\$15,500</u>	<u>\$22,250</u>	<u>\$30,310</u>

**Notes:**

\*Second and subsequent digitization projects are grant funded.

\*\*The re-grant program is similar to the Endangered Archives Programme but focused exclusively on South Asian resources.

†Endowment payout projected at 50% of annual yield with 50% of yield reinvested to expand the endowment principal.

††Funded by external grant.

‡Not to exceed expenses for direct costs negotiated for the year.

**SAMP Open Access Committee  
Balance Sheet**  
[date]

	Projection to end of current fiscal year	Year-to-date
<b>Assets</b>		
Cash and cash equivalents		
Accounts receivable		
Grants receivable		
Prepaid expenses		
Deferred financing costs		
Investments		
Equipment - net		
Endowment		
Total assets		
<b>Liabilities and Net Assets</b>		
<b>Liabilities</b>		
Accounts payable and accrued expenses		
Due to vendors		
Deferred revenue		
Total liabilities		
<b>Net assets</b>		
<b>Unrestricted</b>		
Operating		
Reserve		
Net investment in equipment		
Endowment		
Total		
Temporarily restricted		
Total net assets		
Total liabilities and net assets		

Notes:



## Appendix 3

### **The Structure of the Open Archives Committee**

The Open Archives Committee is a standing committee of the South Asia Materials Project. The Open Archives Executive Board organizes and leads the activities of institutions federated for the mission.

Responsibilities of Open Archives Committee members include: electing members of the Open Archives Executive Board; voting on all decisions related to the Committee's initiative at the annual meetings; proposing activities to be included under the Open Archives initiative; participating constructively in the Open Archives initiative; attending annual meetings of the Committee; and making payments for membership in a timely fashion.

The Open Archives Committee is governed by a five member Executive Board: three SAMP members who are members of the Open Archives Committee, each with a maximum term of three years in staggered rotation; the SAMP Chairperson (*ex officio*); and a representative from The Center for Research Libraries (non-voting *ex officio*). The Executive Board will select a Chair from among its members for a one year term; reappointment is encouraged.

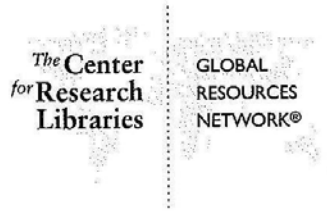
The three SAMP members of the Open Archives Executive Board are elected by the SAMP membership at the founding of the Open Archives Committee. Subsequent vacancies for those three positions will be filled through election by members of the Open Archives Committee. Membership on the Open Archives Executive Board will be limited to two consecutive terms.

If within the three year term a SAMP Open Archives Executive Board member needs to vacate their position, then the Chair of the Executive Board will appoint a new Executive Board member. If the Chair is the one vacating their position, then the remaining Executive Board members will select from among themselves a new Chair. The new Chair will then appoint a new Executive Board member.

The Open Archives Executive Board Chair will submit a report to SAMP each spring, at least two weeks prior to the annual SAMP membership meeting. It will include (but not be limited to) a financial statement, usage statistics (if available), and list of new holdings added.

Appendix 4

**Letter of Commitment from CRL**



*Supporting Advanced Research and Teaching Since 1949*

Mr. James Nye, Chair  
South Asia Materials Project  
Center for Research Libraries  
Chicago IL 60637

October 15, 2015

Dear Jim,

The Center for Research Libraries is pleased with the development of the South Asia Material Project's Open Archives Initiative. I write to confirm that CRL is prepared to serve four important functions related to the initiative. First, the Center is prepared to provide the legal home for the Initiative. Second, it will provide fiduciary services, including managing and tracking of Initiative funds within the CRL accounts, which accounts are audited annually. Third, staff funded by the Initiative will be hired by the Center, and will be based at the Center. Fourth, for digital assets created with Open Archives funds, CRL will arrange for access, discovery, and retention of said resources as appropriate.

It is understood that the Open Archives Committee will reimburse the Center for all expenses associated with the four functions. We look forward to fruitful collaboration and success in this new chapter of the distinguished history of SAMP.

Sincerely,

Bernard F. Reilly  
President