CHAPTER TWENTY-ONE

Toward a Comprehensive Collection on the Allied Occupation of Japan: A Partnership between the University of Maryland Libraries and the National Diet Library of Japan

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Introduction: International Digitization Projects

Technological change has opened limitless possibilities for libraries, archives, and museums to share access to unique and rare materials across institutions. These institutions have responded by creating a variety of opportunities for collaboratively integrating their isolated collection materials into unified systems of overarching common cultural and historical inheritance across the divisional or institutional borders. These collaboration models, however, are circumscribed within single nations, mainly in North America, Oceania, or Europe, and do not transcend national or regional borders. Although the digital world has grown increasingly transnational, few publications have documented international collaboration models for digital projects.

This chapter outlines an international collaboration model for a digitization project between an American academic library and the Japanese national library. The University of Maryland Libraries (UMD) has partnered with the National Diet Library of Japan.
the Japanese equivalent of the US Library of Congress. They are collectively pursuing a bilateral digitization initiative, the Book Reformatting Project, which aims to preserve and create digital access to the materials held in the Gordon W. Prange Collection (hereafter, the Prange Collection). The Prange Collection is one of the UMD’s premier special collections; it comprehensively archives Japanese-language print publications issued during the first four years of the Allied Occupation of Japan, from 1945 to 1949.

The Book Reformatting Project, in terms of its scope and duration, stands out as quite distinct from the standard digitization program. In contrast to typical projects that selectively digitize collection materials, the Book Reformatting Project intends to reformat all books in the Prange Collection, a total of 71,000 titles. The project is consequently in place for a long duration; it started in May 2005 and continues uninterrupted as of today in 2017.

Why does this project seek to reformat the entire collection? How are the UMD and the NDL able to collectively manage this large-scale project over such a long period of time? How do they overcome the inevitable obstacles, given the geographical barriers and organizational, linguistic, and cultural differences between them? To answer these questions, this chapter first illuminates the historical background of the NDL’s postwar collection development policies and practices, which led to the emergence and evolution of the UMD-NDL partnership. The chapter then discusses how this partnership initiated and advanced the Book Reformatting Project by examining the activities, structure, and processes of the project. In so doing, the chapter seeks to uncover the project’s “collaboration catalysts”—the specific circumstances that make it more likely for collaborations to flourish. It also explores the challenges of creating and expanding digital access to the Prange Collection materials across institutional barriers and national boundaries. Lastly, the chapter draws conclusions about the future of the project and its potential impact on scholarly research and public memory in the changing context of the digital environment and higher education.

**Historical Background for the Evolution of the UMD-NDL Partnership: 1960s–2000s**

The UMD-NDL partnership can be traced back to the NDL’s initiative of collecting postwar primary source documents, which started in the late 1960s. After two decades of rapid recovery from the devastation of World War II, Japanese intellectuals became interested in exploring collective experiences and public memories of the Allied Occupation of Japan. In search of primary source materials, researchers began flocking to the Washington National Records Center (WNRC) in Suitland, Maryland, which held the archives of the Supreme Commander for the Allied Powers (SCAP). These materials were declassified in March 1972 by Richard Nixon’s Executive Order 11652, Classification and Declassification of National Security Information and Material.

Noting the trend of Japanese researchers making the long journey to the WNRC, NDL officials became convinced of the urgent necessity of acquiring copies of SCAP documents. Individual collection efforts were neither organized nor systematic and seemed unlikely to build a comprehensive collection. To address this need, the NDL embarked, in March 1978, on an institutional project of SCAP collection development. In pursuit of this ambitious project, it launched two specific programs. First, an annual budget of
36,561,000 yen\textsuperscript{12} was allocated specifically to collect the documents related to the Allied Occupation of Japan. Second, the NDL assigned a representative to reside in Washington, DC and pursue the acquisition of the SCAP materials at the WNRC.

The NDL pursued these programs for over a decade, but in the early 1990s the project was obligated to face the challenges of changing the target materials. SCAP documents were rendered inaccessible from 1993 to 1996 when the WNRC was temporarily closed while its materials were relocated to a new archive, the National Archives and Records Administration (NARA),\textsuperscript{13} which would be built on the site of the University of Maryland, College Park, MD. In response to this prospect, the NDL examined potential candidates of alternative target collections, such as the Presidential Libraries, Marine Corps Historical Center, and MacArthur Memorials,\textsuperscript{14} and finally selected the Prange Collection as a primary alternative target for its postwar collection development.\textsuperscript{15}

If the WNRC was a treasure trove of American occupiers’ documents, the Prange Collection is a treasure trove of the documents of the occupied Japanese. It includes every single Japanese-language print publication issued during the first four years of the Allied Occupation of Japan, 1945–1949. It holds approximately 71,000 books, 18,000 newspaper titles, 13,800 magazine titles, 10,000 news agency photographs, and much more. Its vast holdings include materials of all kinds: literature from classical to modern, children’s and juvenile fiction, education materials, academic and technical books in all disciplines, encyclopedias, recreational pamphlets, wall newspapers, maps, comic books, cartoons—not to mention national and local newspapers and magazines from all over Japan. These comprehensive materials collectively reveal the transformative contexts of homes, schools, workplaces, and communities during the revolutionary years and capture people’s daily practices across regions, generations, and socio-economic status. They illuminate the ways Japanese people reinterpreted and reshaped their identities and how they imagined, interacted, and negotiated with unprecedented possibilities and constraints in the political, economic, industrial, social, and educational arenas of postwar Japan.

The NDL’s early 1990s shift to the Prange Collection made perfect sense since it was the only collection that complements the NDL’s collection of postwar Japanese language materials. The NDL lacked a serious number of Japanese publications for the immediate postwar years, from the defeat in August 1945 to February 1948, when the National Diet Library Law was enacted, which mandated the deposit of one copy of every Japanese print publication. The Prange Collection’s holdings came precisely from this period and would therefore perfectly fill the gap in the NDL’s postwar collection.\textsuperscript{16}

As the only institution in a position to help the NDL fulfill its mission of postwar collection development, the UMD proudly seized on the opportunity to form a partnership. This partnership accelerated the UMD’s pursuit of the lifelong goal of a collection donor, Dr. Gordon W. Prange (1910–1980). A history professor at the University of Maryland, Prange was dedicated to the establishment of Allied Occupation Studies at the University of Maryland. He joined the US Navy in 1943 and was transferred to the Allied Forces in Japan in November 1945, where he became Chief of the Historical Branch of SCAP’s Intelligence Section. SCAP had an intelligence unit, the Civil Censorship Detachment (CCD), which reviewed all civilian communications, including personal correspondence, telephone calls, radio broadcasts, films, and publications. Immediately following the Allied landing on Japanese soil, the CCD began requiring Japanese publishers to submit a pre-release copy of every potential publication for CCD review. When Prange learned that SCAP planned to lift its censorship regime in November 1949, he
immediately arranged for the CCD collection to be archived at the UMD. As a professional historian, he was convinced of the historical value of the CCD’s collection and its great potential to become the best collection in the United States on the Occupation of Japan and the War in the Pacific. In order to arrange for the physical transport of the vast number of materials, he hired carpenters to construct more than 500 wooden crates. It took two years for Prange to accomplish the process of sorting, boxing, and shipping them from Tokyo to College Park, Maryland.

Since the crates arrived in College Park in the early 1950s, the UMD provided dedicated stewardship for the collection. After the UMD’s decade-long administrative struggle to deal with the space constraints, these crates were finally unpacked in the 1960s. The new interest was prompted by a change in the American political climate, specifically the war in Vietnam and the military and political crisis in Asia. The American redefinition of Japan, the former Axis enemy, as a vital Cold War ally rapidly raised scholarly interest in the region, which consequently advanced East Asian Studies curricula and relevant resources and systems—notably, library collections—at higher education institutions. In response to the growing interest in the unpacked materials both on and off campus, the UMD hired a librarian who was a Japan specialist and was therefore qualified to appraise the material values and create bibliographic records. This librarian’s and his successors’ efforts successfully increased the visibility and accessibility of the materials, which consequently drew a number of celebrated scholars from both the United States and Japan beginning in the 1970s. As users’ demand for these materials increased in the 1980s, the UMD embarked on preservation efforts, gaining grant funding and forming a partnership with a Japanese publishing agency. The UMD was convinced that partnership with the NDL would further intensify their preservation efforts, promote the accessibility of the materials, and benefit current and potential users in both nations.

In April 1992, one year after the NDL’s assessment of the Prange materials, the UMD and NDL collectively launched a preservation and access creation initiative. The NDL contributed $1.5 million for this joint project, which sought to microform the approximately 13,800 magazine title holdings, encompassing approximately four million pages. The first project was a great success: it was completed in August 1996, generating a total of 63,000 microfiches. This successful completion was followed by a reformatting of the 18,000 newspaper titles encompassing approximately two million pages, which ended up with a total of 3,800 reels in 2002.

This decade-long microforming project was the fruit of a bilateral partnership and achieved monumental outcomes. Every single magazine and newspaper held by the Prange Collection crossed over the Pacific Ocean in microform version and returned to Japan, five decades after those collections had originally made the reverse journey. Beginning in April 1997, these microforms were housed in the Modern Japanese Political Documents Division at the NDL’s Main Library in Tokyo and have been accessible there ever since.

The UMD-NDL Prange Book Reformatting Project: 2005–present

On May 2, 2005, NDL Librarian, Takao Kurosawa and UMD president, C. D. Mote, Jr. signed a Memorandum of Understanding (MOU) and entered a joint initiative of digital
preservation and access creation of the Prange Collection’s book holdings, named the Prange Book Reformatting Project. The MOU states that this project aims to digitize Prange’s entire book holdings, comprising an estimated 71,000 titles, or a total of seventeen million pages. The MOU also clarifies the institutions’ agreement on an overview of the project, including the target materials and their volumes, the responsibilities of each party, the ownership of digitized products, institutional access to products, and so on.

Due to the collection’s enormous scope, the Book Reformatting Project is divided into phases lasting several years each. Each phase targets specific subject areas of the materials to be reformatted. Prior to defining each phase, the UMD and the NDL together examine the crucial factors of selecting target materials, (e.g., the physical conditions of the targeted materials), users’ potential demand for them, and the readiness of their bibliographic data. Any relevant information specific to each phase is stated in a supplemental agreement.

**Phase 1: Children’s literature (April 2006–March 2010)**

The first phase of the Book Reformatting Project started with children’s literature, which comprised approximately 8,000 titles. The UMD-NDL partnership had two reasons for selecting this collection. First, cataloged bibliographic information for children’s literature had already been fully available before the beginning of the project. Second, the institutions anticipated a high potential demand for the use of these materials. The NDL analyzed public libraries’ holdings of postwar children’s literature and discovered the significantly low rates of holdings of this genre across the nation.

The most unique feature of this phase was the production of color microfilms. Children’s books were first digitized and then the digitized versions were converted to color microforms in order to capture the color graphics and censorship markings of the original copies, which CCD examiners had written directly on them with colored pencils. These color microforms have been accessible since October 2006 at the International Library of Children’s Literature (ILCL), which was one of the NDL’s two branch libraries. The ILCL provides a comprehensive inventory of the Prange Collection’s children’s literature, sorting the titles and related information about picture books, readers, manga, and other resources, along with galley proofs. In 2013, the images of color microforms were integrated into the NDL’s Prange Digital Collection, which are accessible at NDL’s three institutions: the Main Library, ILCL, and Kansai-kan branch library in Osaka/Kyoto region.

**Phase II (April 2010–March 2016): School materials and censored newspaper articles (CNA)**

The project’s second phase focused on education materials, including textbooks, instructional manuals for teachers, supplemental materials, workbooks for pupils, and so on. They comprised approximately 6,500 titles and documents, totaling approximately 975,000 pages. The reason the educational materials were chosen was the availability of a full inventory with their comprehensive bibliographic information.
In March 2014, four years after the beginning of Phase II, the UMD and the NDL made a collective decision on changing the target materials. They agreed to switch from education materials to another significant collection materials, the Censored Newspaper Articles (CNA). The CNA collection consisted of approximately 15,755 items, including newspaper articles galley proofs, censorship documents, news releases, and photographs. These materials in the CNA collection consisted of pre-publication articles and, thus, were separately organized from the published version of the newspaper titles. Accordingly, when the newspaper titles had been microfilmed in the 1990s as discussed above, the CNA collection was not preserved in microform at that time due to the unpreparedness of its bibliographic data. Both the UMD and the NDL were aware of the urgent necessity of preserving the CNA collection due to its fragility and contents and agreed to work on its preservation when its metadata became available. When the UMD informed the NDL of its readiness for digitization in the middle of Phase II, they decided to prioritize the CNA collection. CNA digitization took a year to complete and the project switched back to education materials after that. Phase II was successfully completed in March 2016, followed by the smooth transition to Phase III.

**Phase III (April 2016–March 2023): Social sciences and humanities**

Phase III started in April 2016 with a prospect of a seven-year-long enterprise. This phase targets the titles in the social sciences and the humanities disciplines, which comprises approximately 9,900 titles (11,000 volumes) totaling approximately 1,650,000 pages. Reasons for targeting these subject areas are a good prospect of high demand for the materials in these genres and a well-developed inventory of these materials with bibliographic data. As of March 2017, after the first year of Phase III, a total of 1,400 titles have been digitized.

All of the digitized images produced by the project have been uploaded to the NDL’s Digital Collections and accessible onsite. As of March 2017, NDL’s Prange Digital Collection holds approximately 7,300 book titles related to the humanities and social sciences disciplines, 8,100 titles of children’s literature, and 15,775 CNA items. The total access numbers below demonstrate high interest in and demand for the Prange book holdings.

<table>
<thead>
<tr>
<th>TABLE 21.1</th>
<th>Total title/item numbers accessible with the NDL Prange Digital Collection</th>
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<tbody>
<tr>
<td>Year</td>
<td>General Books (title)</td>
</tr>
<tr>
<td>2017</td>
<td>7,300 (1,400 added)</td>
</tr>
<tr>
<td>2016</td>
<td>5,900 (no addition)</td>
</tr>
<tr>
<td>2015</td>
<td>5,900 (800 added)</td>
</tr>
<tr>
<td>2014</td>
<td>5,100 (1,500 added)</td>
</tr>
<tr>
<td>2013</td>
<td>3,600</td>
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Collaboration Catalysts for the Success and Sustainability of the Project

For over two decades, the UMD and the NDL have advanced their collaborative partnership for the successful pursuit of these projects. Zorich et al. address identifiable circumstances that make it more likely for collaborations to flourish; they theorize these factors as “collaboration catalysts.” Making use of this conceptual framework, this section discusses collaboration catalysts specific to the UMD-NDL partnership that have enabled the success of its Book Reformatting Project. The chapter ultimately aims to demonstrate the applicability of these catalysts to other partnerships that stretch beyond departmental, institutional, and international borders.

Vision

The two institutions share a common vision, one that makes their collective efforts to overcome the inevitable obstacles worthwhile and enables them to maintain their engagement and motivation. As discussed in the previous section, the NDL has a clear vision of collecting the materials issued under the Allied Occupation; this is stated in its collection development policy. The Book Reformatting Project, which seeks to digitize the Prange holdings entirely rather than selectively, reflects this vision.

The NDL’s dedication to enhancing its postwar collection is a perfect fit for the UMD’s mission. The UMD aspires to institutional leadership by contributing to the worldwide research community through its mission to promote access, collaboration, creativity, diversity, and stewardship. The UMD believes that “with like-minded partners, we’re leading efforts to deliver and preserve information in the digital age,” in the words of its 2015–2017 strategic plan.

Administrative home base unit

The Book Reformatting Project has been governed by a specific administrative base unit at each institution. At the NDL, the Modern Japanese Political Documents Division (Kensei Shiryō-shitsu), a unit of the Reader Services and Collections Department, administers the project as one of its divisional roles in managing collection development of modern Japanese political documents. The Division consists of approximately ten full-

<table>
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<tr>
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<th>Off-site Search/Access</th>
<th>Onsite Search/Access</th>
<th>Total Off- and On-site Access</th>
</tr>
</thead>
<tbody>
<tr>
<td>2016</td>
<td>61,837</td>
<td>37,124</td>
<td>98,961</td>
</tr>
<tr>
<td>2015</td>
<td>93,117</td>
<td>8,559</td>
<td>101,676</td>
</tr>
<tr>
<td>2014</td>
<td>52,889</td>
<td>7,675</td>
<td>60,564</td>
</tr>
</tbody>
</table>
time staff members; one of them works at the Prange Collection as a representative in residence. S/he mediates bilateral communications and engages in project management in collaboration with the Prange Collection’s staff members.

At the UMD, four full-time Prange Collection staff members are comprehensively involved in the project tasks, from daily communication to project management. The curator of the Prange Collection regularly communicates to manage administrative and operational support activities with the Modern Japanese Political Documents Division. Constant communication between the partnered units intensifies interconnectedness and enables them to coordinate consistent, cohesive, and efficient workflows and deal collectively with any emerging issue. The interconnectedness of the two institutions is exemplified in the smooth transition from one phase to another and the flexibility that they showed by substituting materials targeted for digitization in Phase II. This interconnectedness enables both institutions to overcome emerging and potential problems effectively and to grow the project collaboratively.

**Embeddedness within the institutional structure**

The administrative home base units in each country play a key role, not only mutually between the organizations but also internally. When a specific organizational unit oversees the project, its operation can be easily embedded within the institutional structure under its leadership and initiative. Consequently, the project can be constantly supported by other administrative and functional divisions at each institution.

At the NDL, four different units are involved in the project for financial and technological purposes. Finances are handled by the Reader Services and Collection Development Division (*Riyō Sābisu bu*), which allocates an annual budget. The Account Division (*Kaikei-ka*) is in charge of logistical processes, such as the issuance and approval of purchase contracts as well as payments to the vendor upon delivery of the scanned images. For the technical roles, the Digital Information Department (*Denshi Jōhō-ka*) undertakes the planning and execution of digital collections while the Digital Library Division (*Denshi Tosho-ka*) provides logistical stewardship for the same collections.

At the UMD, similarly, several departments provide extensive support for the project as well. The Department of Digital Systems and Stewardship (DSS) is crucial as a consultant for digital specifications, including file naming and answering technical questions from the Prange staff members or the NDL. It also administers the technological infrastructure of the Prange Digital Collection by maintaining workstation hardware and software for quality control of the scanned images. In addition, DSS provides training for library technicians to create directory listings of project images and any other technical assistance as needed. The head and conservator of the Preservation Department also provide consultation and preservation services for the original materials and of the archival images. They also advise on the procedures for selecting books to be disbound, the disbanding itself, and rehousing of the books.

**The stable and close involvement of a third party**

This project involves a third party, the contractor, which has been extensively involved in the entire digitization procedure since the microforming project started in the 1990s. This specific contractor is responsible for receiving and scanning the Prange materials,
creating metadata, inspecting it, and delivering it. This contractor’s responsibility is clearly stated as “mandatory requirements for vendor” in a supplemental agreement issued for each phase. Accordingly, both parties understand and agree on the contractor’s responsibilities, which make the entire digital process smooth and easy to proceed. Guidelines for this vendor, such as the digitization specification, are adapted from published manuals for digitization projects for archival and cultural heritage materials.\\n
The most distinctive feature of this contractor’s involvement is its scanning location. It is located next door to the Prange Collection on the fourth floor of the Hornbake Library North on campus. The UMD decided to do the scanning onsite due to the fragility, uniqueness, and excessive amount of the Prange Collection materials. Onsite scanning allows the UMD to constantly monitor the entire digitization process and provide further assistance and guidance as necessary. The immediate solution of any issues that arise and frequent interaction with the contractor is one of the significant elements for the smooth and successful implementation of the project operation. After completion of onsite scanning, the contractor delivers external hard drives that have saved the digital images to its office for file naming and post-processing.

**Challenges**

**Two separate versions of the digital collection**

The Prange Digital Collection is deposited in each institution’s digital collection system. These systems are independently operated, making it unlikely that each version would be interoperated or merged into a single collection. This means that two separate versions of the Prange Digital Collection exist although both digital collections deposit identical images of the Prange Collection holdings. The unlikelihood of the interoperability and convergence of the two separate digital collections is likely confusing and makes it challenging to shape a coherent view of the Prange Collection among worldwide user communities.

To harmonize the two separate versions of Prange Digital Collection, Prange’s social media posts disseminate the latest information on the NDL Prange Digital Collection. The digitized images are annually added to the NDL Prange Digital Collection every March, the last month of the Japanese fiscal year, and the Prange Collection then annually updates the public on social media as to the number of newly accessible titles. In addition, when the Prange Collection posts any digital image accessible with the UMD Prange Digital Collection, it provides a URL of the equivalents accessible in the NDL Prange Digital Collection. The UMD also publicizes any relevant information on the NDL’s resources on the occupation-period materials to form a holistic view of any relevant primary source materials for this historical period and highlight the interrelationship of the collection materials held by the two institutions.

**Copyright restrictions**

The NDL and the UMD govern the accessibility of their materials in accordance with their respective nation’s copyright and institutional policies. The UMD applies US copyright laws to the Prange holdings on a legal basis on the San Francisco Peace Treaty
enforced in April 1952, which authorized US governmental ownership of any materials related to the US Army’s activities under the Allied Occupation of Japan.\textsuperscript{40} The NDL, on the other hand, applies Japanese copyright laws to the digital surrogates, which authorize limited access to duplicates of the copyrighted materials.\textsuperscript{41}

In either case, a majority of the Prange materials are considered still under copyright, so both institutions limit digital derivatives to onsite access only. The NDL provides three access points to the Prange Digital Collection: the Tokyo Main Library, ILCL, and Kansai-kan branch library. In the United States, the UMD campus is the only access point of the Prange Digital Collection. Having only four access points worldwide arguably constitutes a disservice to global user communities in the twenty-first-century digital information environment.

The good news, however, is the Japanese government’s awareness of the necessity of reforming its copyright laws. In March 2017, the Agency of Cultural Affairs of Japan conducted a public survey that sought international users’ comments on a draft to change the relevant laws and regulations on Japanese copyright. This draft sought to achieve extended access to the NDL Digital Collections from abroad; such access is currently approved only for domestic information institutions.\textsuperscript{42} The Japanese government’s permission to allow full or even partial access to the NDL Digital Collection from overseas will undoubtedly accelerate users’ access to Prange holdings and advance the scholarly works on postwar Japanese history and beyond.

**Conclusion**

The UMD-NDL Book Reformatting Project offers a model case of an international digitization project, demonstrating a range of successful catalysts for pursuing a collaborative program across national borders. First, having a shared vision of the project is a cornerstone for sustaining and expanding the project. The NDL is committed to building a comprehensive collection of the Allied Occupation period. The NDL’s mission is well-aligned with the UMD’s dedication to its leadership role in pursuing cultural endeavors, advancing digital accessibility, and supporting worldwide research communities. The home base unit is another key element for pursuing a bilateral project. It externally facilitates interconnectedness through constant and consistent communication between the partnered units and internally situates the project within the organizational support systems across the departmental divisions. Another key issue is having a stable relationship with the third-party contractor. Long-term collaboration makes it possible to benefit from the type of professional expertise and experience that the contractor has achieved through deep involvement in the project.

These collaboration catalysts have successfully nurtured this UMD-NDL partnership for over two decades and have made it possible to provide and promote trans-Pacific accessibility of the Prange materials. The unparalleled comprehensiveness of the Prange holdings provides limitless possibilities for expanding, advancing, and reshaping the scholarship on the Allied Occupation of Japan, which largely remains to be explored by English-language historiography. The growing body of the UMD-NDL Prange Digital Collection will play a crucial role in uncovering unknown historical narratives about this era for Japan, the United States, East Asia, and beyond. The Book Reformatting Project should be considered a leading transnational endeavor that continuously offers a hopeful example for the preservation of the world’s cultural heritage, contributing to the scholarly
and public understanding of local, national, and international history of postwar Japan, and enriching human civilization by increasing digital access to irreplaceable materials for a worldwide audience.

Notes


11. Ibid., 70.

12. National Diet Library, “Evolution of Collecting Initiative of the Allied Occupation Related Materials,” Sankô Shoshi Kenkyû [Reference Service and Bibliography], no. 77 (2016): 8. It is approximately $165,434 based on an exchange rate in April 1978, the starting month of the Japanese fiscal year, which was approximately 221 yen per dollar.


In addition to the Prange materials, the NDL collected the Truman Library documents, the Eisenhower Library documents, the MacArthur Memorial documents, and the Marine Corps Historical Center documents from 1993 to 1996; Yamada, “National Diet Library’s Special Collection,” 68.


Bibliography


