

AAU/ARL Global Resources Network

October 2003 Update Report

The Association of American Universities / Association of Research Libraries (AAU / ARL) Global Resources Network (GRN) has continued its ambitious course since the ARL Membership Meeting in May. The Program's advisory committee was reconstituted by appointing Barbara Allen (CIC) as chair and adding Bill Gosling (Michigan) to the roster. The following report highlights additional GRN activities since the May Membership Meeting, and also invites feedback on a number of matters:

Meetings

- An enthusiastic twelve-person subgroup of GRN's Advisory Committee convened in Washington on June 27 (meeting summary attached). Everyone endorsed an enlarged framework for the Program's next phase, manifest as well in the name change to Global Resources Network (GRN). A series of specific assignments, new and ongoing, are also in place.
- ARL's Board reviewed and endorsed a new GRN Vision Statement ("AAU/ARL Global Resources Network: Framing the Need, Envisioning a Response," 29 July version appended). This document has been circulated to the ARL membership for additional comments and suggestions.
- AAU's September meeting of Provosts / Chief Academic Officers was offered a brief and reportedly well-received overview of GRN by John Vaughn.

Governance: "Rules of the Game"

- ARL staff are working with AAU and CRL to outline the organizational structure, terms of participation, and financial underpinnings of the Global Resources Network. This process entails several overlapping activities:

-A document delineating roles and responsibilities for AAU, ARL, and the Center for Research Libraries has been circulated to ARL's Board and membership. (See "Discussion draft describing strategic partnership between the AAU/ARL Global Resources Program and the Center for Research Libraries," June 26, 2003, appended.)

-A separate discussion draft ("The Global Resources Network and the Global Resources Projects: Principles for participation and fees" – 21 July, 2003) is being refined for consideration by the Boards of the relevant organizations and by the project leaderships.

Finances

- As of 26 September, 50 ARL members have made \$1,500 payments to support the Global Resources Network during calendar year 2004, for a total of \$75,000.
- Arrangements for continuing funding will be considered as part of the Governance discussions described above.

Project migrations and Network construction

- The activities, needs, and corresponding costs of the German Resources Project and the Latin Americanist Research Resources Project are being analyzed in order to determine the requirements for transferring administration of these initiatives from ARL to CRL. The official shift is to follow once the two organizations complete their discussions and finalize an agreement.
- The projects' ongoing funding requirements, and the specific deliverables they will provide, will be considered as part of the Governance discussions described above.
- A list of research and background issues to address in constructing the "network" component of GRN is now being prepared.
- A project to develop a GIS-informed map of international collection strengths and needs will be shaped by the GRN "research issues" document, described above.

Topics for continuing discussion and feedback

ARL Directors are urged to send their comments on the Vision Statement and the "Discussion draft..." to Duane Webster <duane@arl.org> or Dan Hazen <dchazen@fas.harvard.edu> no later than Friday, October 31. GRN updates will also be provided at the Collections and Access Issues Committee meeting and the Center for Research Libraries breakfast during the upcoming ARL Membership Meeting.

1. The Vision Statement – comments and suggestions
2. What should the proposed "network" encompass?
3. The "Discussion draft describing strategic partnership..." – comments and suggestions

Appendices

- Advisory Committee Meeting Summary: 27 June 2003
- Vision Statement ("AAU/ARL Global Resources Network: Framing the Need, Envisioning a Response," 29 July version)
- "Discussion draft describing strategic partnership between the AAU/ARL Global Resources Program and the Center for Research Libraries," June 26, 2003

1 October 2003
Dan Hazen

Advisory Committee Meeting Summary: 27 June, 2003

Attendees:

Barbara Allen, CIC, Chair; Jean-Pierre Coté, Université de Montréal; Dan Hazen, Harvard/ARL; Paula Kaufman, University of Illinois; Peter Lange, Duke University; Jim Nye, University of Chicago; Lou Pitschmann, University of Alabama; Betsy Wilson, University of Washington; John Vaughn, AAU; and Duane Webster and Mary Jackson, ARL.

Absent: Carolyn Brown, Library of Congress; Sharon Breen, Indiana University; Malcolm Gillis, Rice University; William Gosling, University of Michigan; Richard Herring, University of Pennsylvania; John Hudzik, Michigan State University; Stan Katz, Princeton University; Alice Prochaska, Yale University; Bernard Reilly, Center for Research Libraries; and Pauline Yu, UCLA.

The group's discussion began with a quick review of the current situation, followed by extended consideration of both the possibilities and requirements for the Program to move ahead. The group agreed on several basic criteria for success:

-GRP will be judged by whether it improves research and teaching. These improvements, in the final analysis, will be manifest through straightforward mechanisms for users to discover and then readily consult comprehensive arrays of international information resources, in all formats, that have been organized to anticipate concerns that may as easily be topical or disciplinary as geographic. The "scholar's portal" project may ultimately inform some of these objectives. GRP will subsume both electronic and hardcopy resources ("D-Space and P-Space").

-GRP, in pursuing these ends, must also ensure both sustainability and a favorable balance between costs and benefits.

The committee agreed that the Global Resources Program should focus on two broad lines of action. Specific projects, building from the six initiatives that have carried forward from the Program's first phase, will expand the universe of international information resources to which our students and scholars enjoy effective access. Closer linkages among these and future projects should enhance their impact. New projects may focus on topical or disciplinary concerns, as well as yet-untouched world regions. These projects, individually and also together, will increase our access to international information.

A second GRP initiative will seek more rational and cost-effective arrangements for collections and access. The decentralized international collecting model that characterizes North American research libraries encourages depth and diversity. It also encourages duplication, some of it almost certainly unnecessary. The Global Resources Network (the Advisory Committee's unanimous choice of a new label for "GRP-II") will therefore strive to make our dispersed collections more interdependent and complementary through coordinated acquisitions that are combined with powerful central systems for access, discovery, presentation, and delivery.

The discussion touched on many details including candidate areas and topics for new projects, how to balance local and collective priorities, and the need for baseline data on collections and acquisitions. The group agreed that the Network, in particular, must "grow into place" through an evolutionary (though not therefore glacial) process. Necessary background data will include statistical assessments of duplication and also of materials that we are not now acquiring. There was broad support for graphic representations of areas of particular weakness, and redundancy, using maps and GIS-based tools.

The discussion's many threads crystallized into a set of core elements to incorporate in upcoming documents that will detail GRN's vision and operating principles. Areas of potential tension were identified as well. The Network's action agenda calls for it to cement an operating partnership with the Center for Research Libraries, and also to explore additional alliances for the future. Clear "rules of the game" for participation, that detail both benefits and responsibilities, are essential as well.

The Committee strongly endorsed a continuing, activist GRN. The session closed with specific assignments for members to draft a vision statement, consummate the CRL partnership, facilitate transition activities (especially the shift from ARL to CRL) within the current projects, coordinate with OCLC in collecting statistics and devising collection and collecting "maps," prepare "rules of the game" for participation and funding, and anticipate a possible GRN discussion during the AAU's autumn meeting of Chief Academic Officers.

Next Steps

John Vaughn agreed to explore holding an open forum or session on funding GRP - II at the AAU provost's meeting in September. Betsy Wilson and Bill Gosling will identify high priority research questions and needs assessment of resources and gaps and the Advisory Committee will select one or two to pursue. Barbara Allen and Paula Kauffman will draft a vision statement. There are several activities related to the operating capacities of GRP - II. They include developing the map of need and capability, undertaking an inventory of collections and services, identifying technical requirements for the GRN, identifying variable financial models, establishing rules of engagement, and convey this message to scholars.

Dan Hazen and Jim Nye will develop a plan on how to communicate with the current projects. Duane Webster and Bernie Riley will to continue discuss ways in which CRL might assume an operational role. ARL will send a thank you letter to libraries that contributed to bridge funding this year and will investigate whether there are any lessons learned from the National Periodical Center proposal.

7/24/03

**AAU/ARL Global Resources Network:
Framing the Need, Envisioning a Response**

Globalizing societies and internationalizing universities—as well as terrorist threats and regional unrest—are hallmarks of the age. Information from all parts of the globe has never been more crucial, yet we are less and less able to meet the need. Budget constraints, escalating costs, burgeoning output, and ever broader demand present challenges that have overwhelmed our traditional models for collections and access. We need a new response.

The Association of American Universities (AAU) and the Association of Research Libraries (ARL) share the goal of ensuring seamless access to information resources from all parts of the world, through fluid and mutually beneficial exchanges that strengthen international education and scholarship. The Global Resources Network (GRN) is a voluntary and collaborative initiative that will pursue two complementary approaches in developing a new and more robust model for international information. A series of discrete projects will focus on significantly expanding the depth, breadth, quantity, range of formats, and variety of international information resources available to our students and scholars. A second, broad-based, long term, and necessarily evolutionary program will minimize unnecessary duplication among and across library collections. The Network could be partially funded from any resultant savings, in conjunction with ongoing participant support.

GRN's activities will also accomplish the following goals:

- Ensure ubiquitous bibliographic access to international information;
- Preserve scarce or endangered information resources;
- Enable students, faculty, and scholars to discover, retrieve, and use international resources within and across both world areas and academic disciplines;
- Exploit technologically-informed, cost-effective systems to aggregate, integrate, and deliver international information;
- Develop means to identify and address ongoing user needs, and to shape and monitor specific projects;
- Sustain flexible arrangements for participants to define criteria for user access, collection development, resource management, and programmatic investments in light of local priorities and needs.

The Global Resources Network will rely on AAU and ARL for broad direction and oversight. Participating research libraries, drawing heavily upon clusters of specialist librarians, will voluntarily engage in specific activities. The Center for Research Libraries will provide central services and coordination in order to maximize project efficiencies and facilitate cross-fertilization. Other partners will be sought as appropriate.

The GRN will link North American research libraries with one another, and also with collections throughout the world. The program will emphasize voluntary, coordinated efforts to build, share, and provide access to global resources. Stronger aggregate holdings will thus be made available without compromising local needs or well-established collection strengths. GRN will likewise ensure that financial burdens are distributed equitably, while also acknowledging the value of non-monetary contributions. The Network's success both presumes and requires long-term sustainability. Its funding base will combine participant contributions (to some degree associated with the efficiencies and economies of scale allowed by GRN itself) with external support.

[DISCUSSION DRAFT3]

DISCUSSION DRAFT describing strategic partnership between the AAU / ARL Global Resources Program and the Center for Research Libraries

June 26, 2003

AAU / ARL Global Resources Program (GRP) – Roles and Relationships

Governance and Oversight - The Association of Research Libraries (ARL) and Association of American Universities (AAU)

- Assess needs and establish a conceptual framework for collective action relating to international resources needed for North American scholarship and research
- Sponsor the overall program and provide leadership and support for the GRP advisory committee
- Set and periodically review and revise goals for the GRP program
- Identify appropriate partner organizations and funders for GRP
- Determine funding mechanisms and models appropriate for support of GRP
- Assess success and determine program adjustments needed

Developmental Activities - ARL

- Determine the scope and nature of activities to be undertaken, content to be identified
- Develop and apply eligibility requirements and criteria for projects and participants
- Identify, mobilize, and help initiate high-priority projects to advance GRP program goals and move them to an operational stage
- Advance GRP through advocacy, community building, and information exchange among key stakeholders

Enabling Activities - ARL, AAU, and Center for Research Libraries (CRL)

- Develop additional financial resources for ongoing operation of collective activities
- Exercise stewardship over collectively developed resources and content

Operational Support of Activities - CRL

- Fiscal management (accounting, disbursements, invoicing, financial reporting and audits)
- Procurement of necessary legal services e.g., review of contracts, agreements, templates for partnerships and collaborative activities, execution of cooperative agreements
- Project logistics (travel arrangements, meeting arrangements, communications, including project reporting, notifications, etc., shipping and delivery of materials)
- Resources management (digital conversion, metadata development, hosting of resources, digital files management, dark archiving of digital files, migration / preservation, etc)
- Rights acquisition and management, ensuring the execution, maintenance, and archiving of the appropriate releases and license agreements necessary to guarantee that the materials converted under the projects can continue to be disseminated according to the purposes of the project
- Licensing / managing subscription access to materials (developing the necessary language, statements, disclaimers and protocols prescribing the permissible uses of materials obtained / produced by the projects, to ensure observance of the terms of the aforementioned releases and agreements)
- Miscellaneous activities, such as cataloging, indexing, metadata creation, translation, export and editing of catalog records to utilities

Riley
Webster
6/26/03