

**ASSOCIATION OF AMERICAN UNIVERSITIES
ASSOCIATION OF RESEARCH LIBRARIES**

**AAU/ARL GLOBAL RESOURCES NETWORK
DECEMBER 2003 UPDATE REPORT**

The AAU/ARL Global Resources Network (GRN) has embraced two main goals. GRN will expand access to international resources not currently available to North American students and scholars, in the first instance through discrete projects that focus on significantly expanding the depth, breadth, quantity, range of formats, and variety of international information resources available to our students and scholars. A parallel effort will make our dispersed collections more interdependent and complementary through coordinated acquisitions that are combined with powerful systems for access, discovery, presentation, and delivery.

The following report highlights key GRN activities in 2003 and plans for 2004.

Vision Statement & GRN's Goals and Outcomes

- The ARL Board of Directors endorsed a new GRN Vision Statement proposed by the Advisory Committee ("AAU/ARL Global Resources Network: Framing the Need, Envisioning a Response," attachment 1A). The statement describes GRN as a voluntary and collaborative initiative that will pursue two complementary approaches, as described above, in developing a new and more robust model for international information.
- "The AAU/ARL Global Resources Network Goals and Outcomes, 2004–2007" (attachment 1B) describes the steps proposed to advance the GRN vision in 2004, and suggests some activities for 2005 and beyond. Comments on the outcomes described in the statement are welcome at any time but are most useful if received by February 6, 2004. The three priority activities proposed for GRN are:
 1. coordinating international acquisitions to expand overall coverage and reduce unnecessary duplication;
 2. enhancing the scale, scope, and effectiveness of GRN projects, and
 3. managing and growing the Global Resources Network.

The Role of the Center for Research Libraries and Project Migrations

- During the fall, ARL and CRL shared information intended to position CRL to provide oversight for management and operational support for the GRN projects that request such assistance, and also to promote synergies, facilitate communications, and exploit efficiencies among and across all these projects. The first two projects expected to migrate to CRL are the German Resources Project and the Latin Americanist Research Resources Project.

- A meeting was held November 12 with representatives from the ARL and CRL Boards, as well as Barbara Allen representing the Advisory Committee and John Vaughn representing AAU. The discussions led to proposed revisions of the document "AAU/ARL Global Resources Network: Roles and Relationships," June 26, 2003, rev. December 5 (attachment 1C). Another outcome of that meeting is a set of recommended principles for participation and fees in the GRN and its projects (described below).
- By early 2004 ARL and CRL expect to reach agreement on the role of the Center in operating several GRN projects as well as CRL's role within the overall GRN.

GRN Participation and Fees

- "The AAU/ARL Global Resources Network and the Global Resources Projects: Principles for Participation and Fees" (attachment 1D) summarizes the discussions on GRN's membership and financial base. The document articulates the framework for membership in the network and/or one or more projects. Since these recommendations have implications for the budgets of both ARL and CRL, they will go to the Boards of the two organizations this winter and spring.

Finances

- As of December 9, 71 ARL members voluntarily contributed \$1,500 apiece providing ARL with \$106,500 of bridge funding to support the GRN during the next year (attachment 1E).
- Plans call for ARL to fund GRN's core budget in 2004 with this bridge funding plus a modest reallocation from existing dues. GRN activities in 2005 and beyond will probably require a dues increase as the bridge funding is depleted.
- GRN projects may elect to assess fees to their members to carry out specific project activities.

Meetings in 2003

- The reconstituted GRN Advisory Committee, chaired by Barbara Allen, CIC, convened on February 21 with a subgroup meeting on June 27. At the June meeting, the committee endorsed an enlarged framework for the initiative's next phase, and adopted the name Global Resources Network. A series of specific assignments, new and ongoing, are also in place. Summaries of GRN Advisory Committee meetings are available at <<http://www.arl.org/collect/grp/advisory.html>>.
- The future scope and financial sustainability of the program were discussed extensively during ARL's Membership Meeting in May 2003. These and other conversations confirmed strong support for a continuing partnership with AAU, for establishing a partnership between the GRN and CRL, and for positioning GRN to become a core, dues-supported ARL program. A summary of those discussions is available at <<http://www.arl.org/arl/proceedings/142/BusMtgGRP.html>>.

- AAU’s September 2003 meeting of Provosts/Chief Academic Officers was offered a brief and, by all reports, well-received overview of GRN by John Vaughn.
- As noted above, the role of the Center for Research Libraries in the GRN was the focus of a meeting on November 12. A summary of that discussion is available at <<http://www.arl.org/collect/grp/crlrole12nov03.pdf>>.

Transition in GRN Leadership

- GRN Director Dan Hazen, the Visiting Program Officer on part time loan to ARL from Harvard, has been named Head of the Collection Development Department for Widener Library. Dan has agreed to work closely with ARL/AAU/CRL over the first six months of 2004 to ensure a smooth transition to new leadership for GRN.
- Arrangements are being finalized with the University of California, Los Angeles to appoint Eudora Loh as an ARL Visiting Program Officer and part time Director of the GRN. Dora is currently Latin American and Iberian Bibliographer at UCLA and is chair of the GRN Latin Americanist Research Resources Project Advisory Committee.

Key GRN Documents & Invitation for Comments

- Attached to this summary are key GRN documents. The vision statement we consider to be a solid working document; others, such as the statements of Goals and Outcomes and Principles of Participation and Fees are draft and will evolve with input from the various stakeholders. The GRN community is large and comments on the direction of this initiative are welcome from all. For questions or to offer comments, contact Dan Hazen, ARL Visiting Program Officer and GRN Director <dchazen@fas.harvard.edu>. Comments received by February 6, 2004 will be factored into ARL and CRL Board meetings, and the AAU/ARL GRN Advisory Committee meeting, all planned for the first quarter of the year.

12/9/03

Attachments

1A. AAU/ARL Global Resources Network: Framing the Need, Envisioning a Response, 29 July 2003 [the vision statement].....page 4

1B. The AAU/ARL Global Resources Network Goals and Outcomes, 2004–2007, draft December 9, 2003page 6

1C. AAU/ARL Global Resources Network Roles and Relationships, June 26, 2003, revised December 5, 2003.....page 9

1D. The AAU/ARL Global Resources Network and the Global Resources Projects: Principles for Participation and Fees, December 4, 2003.....page 11

1E. Libraries Contributing Bridge Funding to the GRN, December 9, 2003.....page 14

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

A Vision Statement

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.

July 29, 2003

The AAU/ARL Global Resources Network

Goals and Outcomes, 2004–2007

(Draft—December 9, 2003)

Introduction

The AAU/ARL Global Resources Network (GRN) has embraced two main goals. GRN will expand access to international resources not currently available to North American students and scholars, in the first instance through discrete projects that focus on significantly expanding the depth, breadth, quantity, range of formats, and variety of international information resources available to our students and scholars. A parallel effort will make our dispersed collections more interdependent and complementary through coordinated acquisitions that are combined with powerful systems for access, discovery, presentation, and delivery.

To advance these goals, ARL will provide the core budget for the Global Resources Network; AAU will build awareness and support for inter-institutional commitments to GRN from university leaders; and, together, AAU and ARL will consolidate a strategic partnership with the Center for Research Libraries in order to ensure administrative support for those GRN projects that seek such assistance, and also to promote synergies across all GRN projects. The remainder of this document summarizes GRN's short- and medium-term priority activities and the outcomes associated with each:

1. Coordinating international acquisitions to expand overall coverage and reduce unnecessary duplication;
2. Enhancing the scale, scope, and effectiveness of GRN projects; and
3. Managing and growing the Global Resources Network.

GRN Goals and Outcomes

1. Coordinating international acquisitions to expand overall coverage and reduce unnecessary duplication.

Documenting the Need. Work with OCLC to develop GIS-based maps that graphically represent collections overlap, by country and region, within North American libraries. Where feasible, additional maps will highlight countries and regions whose information output is underrepresented in our library holdings. These maps will illuminate the case for the “network” in a very immediate way. They will also suggest country and regional priorities for targeted cooperative action.

Outreach to Faculty and Other Users. Construct a series of regional and campus forums that will focus on scholarly uses of international resources, how these may be changing, the consequences in terms of collections gaps and resource needs, and the ways in which GRN might respond.

Modeling the Network. Articulate requirements and launch prototypes for cooperative international collection development in accord with three principal models:

- a “first out of the gate” approach for firm orders through which participating libraries agree to a default policy of not duplicating orders for non-core materials already ordered by another library, instead relying on interlibrary loan and document delivery for access to those materials. The orders thus deferred will be redirected toward other materials not yet available within the group;
- the “distributed resources” protocol implemented within the Latin Americanist Research Resources Project, through which libraries reallocate some portion of their materials budget to support more intensive acquisitions in self-selected target areas; and
- efforts that combine these approaches, and that thereby reinforce inter-institutional commitments to shared international collection building.

Discussion documents that detail the prerequisites, procedures, and outcomes associated with each approach will be prepared early in 2004 as a basis for concrete initiatives.

2. Enhancing the scale, scope, and effectiveness of GRN projects.

New Projects. Encourage new GRN projects through a combination of mechanisms that allow existing international initiatives to “self-identify” for affiliation with GRN, plus continuing efforts to generate projects around critical topics or world areas. Seed funding to support new projects is anticipated as of 2005.

New Roles for the Center for Research Libraries. Consolidate the CRL partnership with AAU and ARL in order to provide oversight for the management and operational support for the GRN projects that request such assistance, and also to promote synergies, facilitate communications, and exploit efficiencies among and across all of these projects.

Project Fees. Authorize projects to implement annual participant fees of about \$1,000 for ARL libraries to support their outcomes and objectives, as these are informed by—and also as they reinforce—GRN’s overall vision and goals. Project fees for non-profit research institutions that are not members of ARL should reflect institutional size and capacity, and also the specific circumstances of international institutions.

A Global Plenary. Support the Center for Research Libraries in convening a “global plenary” through which GRN projects and other international initiatives can share information and explore common possibilities and goals.

Project Oversight and Evaluation. Develop a process to evaluate each project’s progress in achieving its internal objectives, and also in advancing GRN’s more general goals. Each GRN project (currently there are six) has its own aspirations and plans, which are separately described on the “Global Resources” Web page <<http://www.arl.org/collect/grp/grp.html>>.

3. Managing and Growing the Global Resources Network.

Updating the Advisory Committee. Review the Advisory Committee's charge and composition as GRN moves from its current transitional phase toward sustained new efforts. The Committee will focus on framing the "outreach" activities through which the concerns of faculty members and other users can help to shape the network; providing additional strategic guidance for the GRN projects; monitoring the partnerships among AAU, ARL, and CRL; and continuously refining a broad vision for the network as a whole.

Securing External Support. Explore possibilities for external support, particularly via foundation grants.

AAU/ARL Global Resources Network (GRN) Roles and Relationships

Draft June 26, 2003; revised December 5, 2003

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 GRN advisory committee.
- Set and periodically review and revise goals for the GRN program.
- Identify appropriate partner organizations and funders for GRN.
- Determine funding mechanisms and models appropriate for support of GRN.
- Assess success and determine program adjustments needed.

Developmental Activities—AAU, ARL, and Center for Research Libraries (CRL)

- 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 GRN program goals and move them to an operational stage.
- Advance GRN through advocacy, community building, and information exchange among key stakeholders.

Enabling Activities—AAU, ARL, 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

AAU and ARL will establish a compact with the Center for Research Libraries (CRL) to provide leadership in the oversight for the management of the existing GRN projects that seek such assistance. This includes, potentially, the following kinds of support:

- 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, shipping and delivery of materials, etc.)
- 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

CRL will also seek opportunities to promote synergies, facilitate communications, and exploit efficiencies among and across all of the GRN projects.

Vaughn, Webster, Riley 6/26/03; rev. 12/5/03

The AAU/ARL Global Resources Network and the Global Resources Projects: Principles for Participation and Fees

(Draft—December 4, 2003)

Overview

The AAU/ARL Global Resources Network (GRN) aspires to broad participation by libraries within and beyond the United States and Canada. The Association of American Universities (AAU), the Association of Research Libraries (ARL), and the Center for Research Libraries (CRL) are variously responsible for the Network's oversight and administration. The Network also manifests itself through a number of specific, self-governing projects that (at present) target six world areas.

The purpose of this discussion document is to codify GRN's membership and financial base in the following three respects:

- Who is entitled to share in the benefits that result from the Network and its projects?
- How will the Global Resources Network cover its costs? Who will pay for GRN staff support, meetings, travel, and such administrative operations as webpage maintenance and accounting?
- How will each project cover its own out-of-pocket costs for meetings, license fees, grant administration, publicity, etc.? How can the projects generate revenue to support new initiatives?

This document suggests general principles for GRN participation and fees in order to move all the stakeholders—currently AAU, ARL, CRL, and the six projects—toward consensus with regard to the issues listed above and the ways to address them. Each organization will then need both to ratify and to operationalize this common understanding.

The Short Version

ARL will fund GRN's core budget. All ARL members, through the ARL Board and in conjunction with AAU and CRL, participate in GRN's governance. All ARL members likewise benefit from the activities carried out through GRN. Non-ARL institutions may participate as Associate Members of the Global Resources Network.

General operational support for most GRN projects will be provided through the emerging AAU/ARL partnership with the Center for Research Libraries. Each project may assess fees and then limit its governance and decision-making to fee-paying institutions. Basic project products and services will, as a general rule, be available without restriction to both project members and non-members. Access to value-added initiatives may, however, be limited to fee-paying members.

The remainder of this document expands upon these basic principles as they apply to a broader array of institutions and in a wider variety of circumstances.

Definitions

Global Resources Network refers at once to the program as a whole, and also to GRN's upcoming effort to consciously reduce duplication and intensify interdependence among research libraries. This centerpiece GRN initiative, which is still taking shape, will initially focus on coordinated collecting programs that function in tandem with rapid, cost-effective mechanisms for document delivery and interlibrary loan. Eventual extension into electronic formats is likely as well.

GRN projects are the discrete initiatives undertaken by groups of libraries (including some that do not participate in the Network) in order to meet objectives that are defined within each group, as informed by GRN's overall vision and goals. The six current projects correspond to Germany, Japan, Latin America, South Asia, Southeast Asia, and Sub-Saharan Africa. We expect that the number and nature of these projects will change over time.

The Benefits of Membership

Both the Global Resources Network and the GRN projects will continue to pursue many specific activities. Most basic products and services will be freely available to the entire research library community and beyond. For instance, cooperative indexing and cataloging projects are generating bibliographic data that are currently available through OCLC or on open websites like those of LANIC and the Center for Research Libraries. The more diverse hardcopy holdings expected from the "network" initiative will similarly be accessible to all through interlibrary loan.

Several categories of value-added services, however, may be limited to the members of GRN and/or its projects:

- Experimental projects, trial initiatives, and fledgling efforts
- Products or services with access restrictions
- Projects that are funded through subscriptions, use fees, or mechanisms for cost-recovery
- Special "value added" services that are associated with broadly accessible products. For instance, the Latin Americanist Research Resources Project (LARRP) has constructed a massive table-of-contents database for Latin American journals. The bibliographic information is freely available through LANIC, and anyone can request specific items through interlibrary loan. LAPTOC also offers a special feature for expedited, patron-initiated document delivery. This additional capability, however, is only available to LARRP members.

Principles for Membership and Fees

Membership is the vehicle through which the Global Resources Network and its projects sustain themselves both programmatically and financially. Members provide financial

support and enjoy the benefits of active engagement in governance and policymaking, plus access to value-added services. Overall GRN governance will continue to be provided by ARL's Board and the AAU/ARL GRN Advisory Committee. Project governance will be established within each initiative.

ARL is responsible for meeting the basic financial requirements of the Global Resources Network and its potential expansion, including the Center for Research Libraries' costs for administering the affiliated projects. Annual revenue targets will be established on the basis of periodic projections and reviews.

Non-profit research institutions that are not members of ARL may participate in the Global Resources Network as "Associate Members." These institutions will not be involved in GRN's governance. Any fees will be determined through consultation among AAU, ARL, and CRL, and structured so as to encourage the widest possible participation.

Membership in GRN's various projects is distinct from membership in GRN as a whole.

Each GRN project may develop its own membership criteria, including fees, for those institutions that wish to participate in project governance, support additional project activities, and enjoy access to value-added services. This model for governance and fees is similar to that of the self-governing Area Studies Microform Projects that are associated with the Center for Research Libraries.

Non-profit research institutions that are not members of ARL may elect to become members of any or all GRN projects. Project fees should reflect institutional size and capacity, and also the specific circumstances of international institutions. GRN's core costs include ARL's support for expenditures incurred by the Center for Research Libraries in administering the GRN projects; project participants that are neither ARL members nor "Associate Members" of GRN may therefore be assessed an additional fee to cover these base expenses. The very specialized institutions that participate in only one project, however, may be exempted from these additional fees. GRN projects that are not administered through CRL may likewise be exempted from these fees.

Each project may pursue grants and other sources of external support. The Center for Research Libraries will in most cases serve as the applicant institution and grant administrator.

Provisions for consortial participation in either GRN or GRN projects have not yet been defined.

ARL will fund GRN's core budget, and may also collect any fees that may be levied upon Associate Members. CRL will bill for and administer the fees that are established within its associated GRN projects.

DH , December 4, 2003

**Libraries Contributing Bridge Funding
to the AAU/ARL Global Resources Network**

As of December 9, 2003

Arizona State University	University of California, Berkeley
Boston College	University of California, Irvine
Brigham Young University	University of California, Los Angeles
Brown University	University of California, San Diego
Case Western University	University of California, Santa Barbara
Center for Research Libraries	University of Cincinnati
Cornell University	University of Colorado
Duke University	University of Connecticut
Emory University	University of Delaware
Florida State University	University of Guelph
Georgetown University	University of Hawaii at Manoa
Georgia Tech University	University of Illinois at Urbana-Champaign
Harvard University	University of Iowa
Indiana University	University of Kansas
Laval University	University of Kentucky
Library of Congress	University of Louisville
McGill University	University of Michigan
Michigan State University	University of Minnesota
National Agricultural Library	University of Missouri-Columbia
National Library of Medicine	University of Nebraska-Lincoln
New York Public Library	University of New Mexico
New York University	University of North Carolina at Chapel Hill
Northwestern University	University of Notre Dame
Ohio State University	University of Oklahoma
Ohio University	University of Pennsylvania
Pennsylvania State University	University of Pittsburgh
Princeton University	University of Tennessee
Texas A&M University	University of Texas at Austin
Texas Tech University	University of Toronto
Tulane University	University of Utah
Université de Montréal	University of Washington
University of Alabama	University of Wisconsin
University at Albany, SUNY	Washington State University
University of Alberta	Washington University at St. Louis
University at Buffalo, SUNY	Yale University
University of British Columbia	York University