BRIDGING WORLDS

Edited by Raymond Pun, Scott Collard, Justin Parrott
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Acknowledgments

The idea for this edited volume came from several inspirations. The first was an essay published by Harriett Green from University of Illinois Urbana-Champaign entitled “Libraries across Land and Sea: Academic Library Services on International Branch Campuses” in College and Research Libraries, v. 74, no. 1. Green’s study looks at how international branch campus libraries obtain support from their main campuses. She interviewed several leading universities with various partnerships across the globe about collaboration between branches and their headquarters. The essay sparked our interest in compiling an edited volume, both as a response to Green and as an opportunity to dig deeper into the work going on in U.S. campus libraries abroad.

The second impetus was an encouraging conversation with Kathryn Deiss, ACRL’s content strategist, which prompted us to think more about this project and consider it seriously. We sincerely and copiously thank Kathryn Deiss and the ACRL’s New Publications Advisory Board for their feedback, encouragement, and guidance to pursue this project.

We would especially like to extend our thanks to all contributors to this volume who have done an amazing and enormous job with their chapters and thus helped make this book possible. Additionally, the editors would like to thank their friends and colleagues at New York University and its campuses in Abu Dhabi and Shanghai for their support and encouragement.

Reference

Introduction

Raymond Pun, Scott Collard, and Justin Parrott

Over the past decade, a growing number of American institutions of higher education have made international engagement a key facet of their missions, emphasizing global awareness, interconnectedness, and student and community diversity. Most ambitiously, more and more universities are establishing campuses, branches, and enhanced programs outside of the United States. Many U.S. universities are partnering with foreign institutions in the Middle East and East Asia, capitalizing on interest in introducing and integrating Western higher education into these regions. These collaborations seek to take advantage of the blending of cultural, social, political, and economic communities to chart new territories in research, teaching, and learning. Whether driven by the need to recruit more international students, the desire to prepare students for work in a more globalized world, or as a vehicle to initiate broader global partnerships with foreign entities, these ventures certainly represent a growing emphasis in higher education.

Academic libraries are playing a role in many of these undertakings, acting as key partners in the development of campus community, student life, and research. The objective of this volume is to present examples of libraries working to play their part in a campus’ development and international ambitions. The volume is divided into five thematic sections:

- Designing and Envisioning the Library Ahead
- Delivering Global Access Services and Technology Support
- Building Collections Abroad Collaboratively
- Developing Reference and Research Services on International Campuses
- Providing Technical Services in a Global Context

Each of these sections is composed of chapters, generally case studies, which focus on how libraries are engaging their new global communities through services, collections, and infrastructure building. These chapters illuminate best practices, lessons learned, and perspectives gained; and touch on some of the cultural, political, and social factors at play as institutions work to support these complex organizations. The contributions here illustrate a variety of institutions, styles, and approaches. Taken together, these chapters provide new ideas, experimental models, and innovative methods in developing an international campus library in close
collaboration with the home campus. These chapters also offer lessons to other university libraries interested in establishing global centers with a strong focus in teaching, learning, and research missions.

Many of the contributors to this volume, including the editors, are in some way connected to New York University (NYU). In addition to being the impetus for this volume, NYU’s entrance onto the global higher education stage—with the opening of its Abu Dhabi campus in 2010 and Shanghai campus in 2013—has in many ways highlighted an emerging and highly collaborative global model for library services. In addition to the NYU contributors, the case studies collected here are drawn from institutions around the Middle East (Abu Dhabi, Cairo, Qatar), Asia (Shanghai, Taiwan), and elsewhere, with a good deal of attention paid to relationships with home institutions in the United States as well.

Interestingly, the cooperation involved in producing these chapters demonstrates that global collaborations can and do work in the local context too. It’s important to note that regardless of the resources or geographical locations involved, one common challenge for all contributors is communication between campuses or partners. To collaboratively build anything new in this kind of environment—be it a service, a resource-sharing model, or even a chapter for this volume—requires a firm commitment to strong and open communication.

In the first section, Designing and Envisioning the Library Ahead, two New York University leaders, Lucinda Covert-Vail, Associate Dean for Public Services, and Roddy Austin, Associate Dean for Library Information Technology, describe the planning and design stages of the libraries for NYU Abu Dhabi and Shanghai. Co-editor Scott Collard interviewed Lucinda and Roddy about their thinking and approach as NYU moved into largely uncharted territory. They share some of their perspectives on the challenges, rewards, and successes in designing the two international campus libraries for NYU and, along the way, discuss recruitment, strategic planning, network development, funding models, and other important elements of building campuses from the start. Their contribution lays the foundation, or presents the big picture, for most of the activities and developments in subsequent chapters.

In the second section, Delivering Global Access Services and Technology Support, the chapters explore different phases of building library access and technological services, programs, and policies in the new campus. The major areas of discussion are implementation of NYU Libraries’ global delivery services across NYU’s portal campuses, implementation of interlibrary loan in an international context in Qatar, and integration of academic technology support at NYU Abu Dhabi and NYU Shanghai campuses. This section will appeal to access services librarians and technologists interested in providing their respective services to patrons abroad in a global network.

In the third section, Building Collections Abroad and Collaboratively, the chapters examine the processes of building print, digital, multimedia, and special col-
lections in global settings. The major areas of discussion are the issues involved in licensing electronic resources across a global network, building print collections with the help of collection development librarians over long distances, innovations in constructing a local participatory archive for real-time events (in this case, the 2011 Egyptian revolution), planning for a special collections unit to cater to a local and international audience, and the challenges involved in complying with intellectual property protections in an international setting. This section will appeal to librarians involved in collection development, archives and special collections, and copyright law.

In the fourth section, Developing Reference and Research Services on International Campuses, the chapters discuss global and virtual reference, research, and instructional and outreach services through collaborative models and best practices. The major areas of discussion are the methods by which research and reference services have been provided at NYU portal campuses, instructional services and library teaching for international students, and support for study-away students and faculty at global academic sites. This section will appeal to librarians involved in reference and research services, library instruction, first-year student orientation programs, and general library outreach.

In the final section, Providing Technical Services in a Global Context, the contributors describe methods and best practices regarding important aspects of technical services in their international and local contexts. The major areas of discussion are the integration of resource acquisitions across a global network, the details of technical services processing strategies implemented by NYU campuses, and the challenges and benefits involved in teaching new RDA cataloging rules to international librarians. This section will appeal to librarians involved in library automation and systems, budget and fiscal control, acquisitions, cataloging, and integrated library systems.

Selected References


Observatory on Borderless Higher Education. http://www.obhe.ac.uk/. 


**Biographies**

**Raymond Pun** is the first year student success librarian at California State University in Fresno. Previously, he was a reference and research services librarian at New York University Shanghai. He has presented widely at conferences such as ALA, SLA, IFLA, and the American Historical Association. His work has appeared in many publications, including *The Huffington Post, Library Hi Tech, Reference Services Review*, and *Library Trends*. His professional and research interests include gamification and emerging technologies in libraries, community engagement, data management, and digital scholarship services.

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SECTION 1:
Designing and Envisioning the Library Ahead
Envisioning the New Global Campus Library: A Conversation

Lucinda Covert-Vail and Roddy Austin
As interviewed by Scott Collard

Introduction

The following is an edited transcript of a conversation with Lucinda Covert-Vail, Associate Dean for Public Services at NYU Libraries; Roddy Austin, Associate Dean, Library Information Technology and University Media Services, NYU Libraries; and Scott Collard (interviewer), Head of Social Sciences, NYU Libraries.

When NYU announced its intention to open global campuses in Abu Dhabi and Shanghai and to provide a research environment comparable to that found at the Washington Square campus in New York City, Lucinda Covert-Vail and Roddy Austin took lead roles in the design, planning, and implementation of the facilities, initial staffing, and service portfolio for these campuses. In this interview, they reflect at a high level upon some of the unique opportunities and challenges presented by the project, some of the lessons learned in the development process, and how their approaches evolved.

Scott Collard: Welcome Lucinda and Roddy! Thank you both for sitting down to talk about the process you went through to get these new libraries up and running in Abu Dhabi and Shanghai. I’d like to start by asking you about your first thoughts when you heard about NYU’s desire to
expand globally in such a unique way, and also the roles that you would both play in pioneering that new way of designing and delivering library services.

Roddy: There are many things as I recall, but primary was the opportunity to design and build a twenty-first-century library from scratch, so to speak. This opportunity provides you with a clean slate where you can consider all of the physical and environmental challenges that we currently have with a prebuilt space, and also think about how to overcome some of those limitations and think futuristically about the way services will be provided and students and scholars will work in the future. I didn't fully realize that in the very beginning, but to me that was the real opportunity.

Lucinda: I would echo a clean slate. Especially because it was an opportunity, as well, to leave some legacy things behind and think about what kind of services you want for faculty and students in a twenty-first-century research library and leave behind the old structures, the old hierarchies. We could be much more user centered. At the New York campus we're so big, and you can't just undo things because they've been created for very good reasons. But in Abu Dhabi it was like, we can do this a little differently.

So the way we conceived of global collections and ecollections is one example. The way academic computing and support is structured and delivered is very different than what we do here in New York. We really got to think; this is how people work, this is how the services should work.

The other thing that made it so valuable for us is that the library was at the table from the very beginning with Abu Dhabi. That, I think, was one reason why we had this opportunity to really envision and work with a clean slate. We were part of the visioning and extensive planning process that the university conducted beforehand.

We were also part of the first team that visited Abu Dhabi. It was interesting who went in that first group. There was an academic component, the libraries, IT, and public safety groups. We went around the Emirates together, meeting our counterparts at other universities and colleges.

Roddy: In a little van!

Lucinda: Each day we would go out. I'd meet with the library people. Roddy would talk to the IT people. The public safety people would talk to their counterparts.
Then we'd come back together. So there was a real opportunity to piece together what was going on there as well, and then think about our model and what we'd do.

**Roddy:** And we quickly discovered there were differences in understanding what the model should be even within the internal team. But as Lucinda said, we were critical to the original visioning. The leaders of the effort considered the library to be central to the physical campus that was going to be built, as well as the academic community.

And the University leadership, right from the very beginning, they also communicated that the libraries’ role was part of their vision. If they didn't have that kind of vision, we would have been advocating, of course, and perhaps not been as successful. In retrospect, it made a critical difference that they had that vision and understanding from the outset. They didn't think exactly the same way we think, but that's OK. We came to a more common vision. Helping everyone understand that we weren't going to have a two-hundred-thousand-item print collection in this day and time!

That was critical, I think, our being at the table in the beginning. And it's also because that's who they are. They're scholars. They have been library users and critical supporters of libraries for their whole careers. I think it was critical to John Sexton's vision having an academic perspective on building this campus.

**Lucinda:** It had its challenges, but it was that recognition of the library as a crucial partner in the research and teaching mission of the university that was critical to our success. And thinking now in retrospect, with NYU Shanghai and NYU Abu Dhabi launched, the library is a good example of the global network concept. The early players—the library, IT and public safety—are central services that flow within the network. Now it's a given that we are global, because that's just the way we build and deliver our services now.

Abu Dhabi and Shanghai also each have unique programming and services in their libraries. No one of us is a carbon copy of another. I think we've embraced and delivered on the idea of global services in addition to unique services and programming at each portal. It's a true network university library system that we are running. And it is one of our greatest strengths.

**Roddy:** It's because we made the commitment from the beginning, at least theoretically, that all the resources that are available in New York would be available to students and scholars at these other campuses. Now nobody quite fully under-
stood what that would mean, but that was really a part of the vision. That’s unique in this model for a university, I think.

Scott: Sticking on stakeholders—I’ve also heard you talk about another level of stakeholders, which is the sponsors in the country or other entities that have an interest or maybe are external to NYU. You want to talk about any of that; how you’ve managed those relationships?

Roddy: First, I’ll say we thought of ourselves as the primary stakeholders—NYU New York with the library—that’s because we had no other staff at that point. We didn’t hire our first director until we were about to equip the downtown campus. For better or for worse we really thought of ourselves as the stakeholders, which I think is a positive thing.

Lucinda: We were probably a good 18 months into the project before we ever had any library staff on the ground in Abu Dhabi! And our first staff were both experienced librarians who’d worked in the Emirates previously.

Roddy: The tensions that we experienced, understandably, were with the limitations of space with the downtown campus. It was a prefab building. We had many discussions about how big and where the library would be located and then, of course, the cost issues and equipping—those kinds of things. We did the library design in New York, but at the time we didn’t know it was going to be a prefab. They built it in the Czech Republic or somewhere and floated it down into the Arabian Sea and up to Abu Dhabi.

Lucinda: Our design was changed quite a bit because, when it showed up, they basically said this is where the power outlets, the offices, etc., are, so we had to adapt to it.

I think that, as with anything, there are many stakeholders. Of course we considered the faculty and student stakeholders and what types of services and support would best meet their needs. There were stakeholders in Abu Dhabi beyond the NYU staff and planners. When we thought about delivering research services and library services we were pretty unified among our NYU colleagues, I would say. But we weren’t necessarily always on the same page with those holding the purse strings when it came to doing certain things.

I think it’s one thing for those of us at NYU New York to know what we think a research library is. It was a pretty new concept to a lot of the people who were actually more at the we-will-build-it, we-will-fund-it level for the permanent library.
There were many meetings where we really worked through those kinds of things. It was like, “No, it’s not just a study hall with reserve readings.” In fact, the same thing happened with Shanghai.

So there were those stakeholders and, as Roddy said, we didn’t have any of our own staff initially as stakeholders and advocates in the Abu Dhabi library. Most of the stakeholders had been University leadership here in New York and then the faculty here. We began to meet with those faculty after they decided who was going. Even that was done here initially.

There was just this huge amount of preopening work, way before you open your door to students. It was years! That’s the thing when you look back on it. People seem to think we just opened the doors and “wow!” But there were several years of planning. Many people here in New York were involved in that.

Scott: This is the flip side to the opportunity to design from scratch, I guess.

Roddy: You’re facing different expectations, different understandings where we had to continually advocate. Sometimes that was easy to do and sometimes it didn’t register, but in a process this large and complex, with that many people involved, you have to learn that you’re not going to be able to have your vision become the ultimate result.

Lucinda: It really should be considered a process of give and take—working towards a common end—while working through a variety of visions, demands, and scenarios.

Scott: What other things would you identify as some of the initial challenges as you were preparing to open the first global library in Abu Dhabi?

Lucinda: First of all, rather than being a challenge, we were going with the model of the twenty-first-century library and that was something we’d spent a lot of time thinking about here in New York.

Abu Dhabi was going to be an international university, so there we had some models to go forward on. We also had all the research we had done in New York with our constituencies, work understanding our students, and other’s work we could build on. So we had some really good, solid, well-researched ideas about how we were going to deliver this.
One additional challenge, or balancing act, was that of working with primarily an undergraduate student population while also supporting the faculty, institutes, and programming of a research university.

I visited the other institutions of higher education in the Emirates and also in Qatar—talking to them, visiting their sites and libraries, and learning about what some of their challenges had been—but none of them were exactly like us.

And all were very generous with their time, sharing information and their experiences working in the Gulf from the very practical—such as where do you get your books, what jobbers do you use, how much does it cost you when you’re shipping materials back and forth, what ILS do you use—to the larger issues of staff recruitment, development and retention, and intercultural challenges and opportunities.

These colleagues helped us understand that our sponsors would have questions—because we were dealing with many different levels and expectations and ways of doing things when it came to physical structure or when it came to licensing electronic resources—questions like, “Why do you have to pay for it every year?” or “You don’t own it and yet you pay for it?” Things like that. Learning that some of our expectations had to be “You’re right. Why do we do it this way?” and setting it aside or learning to think differently and creatively about our own goals and expectations helped us move forward.

Another thing right away was that the staffing situation was a challenge. Recruiting an entire staff at one time was no small task. Staffing the library in Abu Dhabi was also a challenge because the campus didn’t have student staff initially and libraries run with student workers.

Roddy: And the other part of that is, are we going to be able to recruit staff who have experience with an American research library and understand that mode of service and support? Wondering how we would recruit people from wherever to go and live in Abu Dhabi and work for us was not something we thought about all the time. That was a big concern, especially when we got ready to open the downtown campus. It was a big challenge.

Lucinda: And NYU Abu Dhabi was not a known entity. Basically, our director recruited very good talented librarians who were recent grads. In the beginning it wasn’t like you’re getting midcareer people wanting to be librarians in Abu Dhabi, because it was a brand new enterprise and people were watching to see how it developed.
Roddy: There was a contract, but the employment regulations are entirely different.

Lucinda: It has been a learning experience along the way. Many members of our NYU Abu Dhabi staff are expats, which makes for a very rich mix of experience and cultures. And of course since it is a different country, it’s a new learning experience in China with different staff and expectations, different employment regulations, etc.

Scott: The staffing conversation is very interesting. What were the considerations that you were trying to bring to the staffing? Or was it really, let’s try to find just good people and hope that they’ll take a gamble at the beginning?

Roddy: Part of it with Abu Dhabi was the contrast to how large we are in New York. This was going to be a much smaller library, a smaller community, and we would be able to provide more personalized boutique services.

Lucinda: It would be high touch.

Roddy: Right. We knew that we had to attract staff who were highly skilled in order to really have a professional and personal touch with faculty, and students, of course. Luckily we did.

Lucinda: I think we were very successful. I think we got really good people.

The other thing that was a challenge in Abu Dhabi was that, especially in the beginning, it was a real hybrid. We just had freshmen and we had some researchers and little in the middle. There’s a similar issue in China as well. On one hand, you’re running an undergraduate liberal arts college. On the other hand, you have research faculty and post-docs who are expecting the kind of support and services that go along with being a research institution. So how do staff balance that out when they’ve got these distinct groups with varying needs? What kinds of staff and expertise do we need?

I think that the other challenge, which we still face, is trying to integrate our staffs so that everybody is not just out there doing their own thing. I’m not just talking about Abu Dhabi and Shanghai; I’m talking about Abu Dhabi, Shanghai, and New York as well. We see it right now in duplication of the same content on three different LibGuides.
I think the biggest surprise, and maybe we said this before, is I think initially we thought, “Oh it’s all electronic. It doesn’t matter where they are in the world and what’s going on. That’s not going to be a problem.” I think we found that time zones and workweeks really do matter.

**Roddy:** Physical distance does matter! Obviously, on a planning level, it makes it more complex to communicate nuance and advocate via email and telephone conversations.

**Lucinda:** I don’t think we anticipated how big a deal that would be until we got in. We learned it by learning that our ILS doesn’t handle multiple time zones.

In Abu Dhabi there’s a different workweek, Sunday–Thursday, so they would be at the end of their second day before Monday started for us here in New York. That would be two days that, if anything had gone wrong, there was nobody to talk to. We have expanded our staffing model here in New York to help bridge the workweeks.

**Roddy:** One of my challenges, from an IT perspective, was once we realized that our library systems and services would be hosted in New York to support Abu Dhabi and Shanghai, the IT infrastructure, the staffing infrastructure, and the service model had to evolve to become more robust. Because we are Eastern Standard Time zone-centric, Monday through Friday, and not globally oriented towards their nights and weekends; our IT support staff are asleep during their daytime. How would we work to create a more robust infrastructure that would provide responsive applications remotely, as well as respond to IT problems when they arose, rather than waiting for hours to respond? That was a challenge that I knew would be met with both organizational and cultural change, and perhaps work time reassignment, as well as additional automated systems monitoring.

Luckily it turned out to be less of a challenge. When we started providing remote services to these campuses, our systems, at that time, had become more stable. We did have some issues and problems, but not to the extent, I think, that we could have. It would have been difficult for us to be as responsive as we needed to be in the beginning since the evolution to a more robust support model took several years to fully implement.

Part of our service model was to be equally responsive to systems issues that impacted AD and Shanghai users. We didn't want them to think they were second-class users. We wanted to respond in the same way that we would respond to issues effecting users here, which again is a cultural change for New York staff, to
evolve to a 24/7 service model. For example, you can’t schedule systems downtime or an application upgrade until you speak to our colleagues in Abu Dhabi and Shanghai and find out what would work for them. Now it’s more second nature to our staff. In the beginning I was constantly reminding them, “No, you cannot do that then because services will be interrupted in the Abu Dhabi a.m.” or “You cannot do that on Sunday. AD classes are in session.”

Lucinda: Another challenge, for all of us here, was that if we were going to deliver on collections for this global research library, we had to change delivery services. We did change our service model and our hours. We’re staffed on 7 days a week now—that we never did before—in order to meet the needs of Abu Dhabi’s constituents. We developed a successful service model for delivering research materials from our New York libraries to Abu Dhabi. And the funny thing is that we then extended that delivery model to our libraries uptown and to Brooklyn! Our global became really local.

I think that the other thing for many people, in the beginning, was the dramatic difference in environment. We’re so big in New York, with large collections, and we have other libraries and resource sharing partners we can call upon. Our users have access to all these library collections both in person and via resource sharing. For example, if you don’t have it here you can always try Columbia or NYPL. People didn’t realize there was very little in Abu Dhabi. Resource sharing among libraries in the Emirates was not an option and there were no alternate places to go. Therefore in the beginning, from an acquisitions perspective in New York, there wasn’t a driving sense of urgency because it’s available up the street too. Abu Dhabi had few alternative in-country resources. They were running a reserve reading room and building an entire collection from scratch. You can’t let an order fall off the radar! It took people a while to understand that there weren’t other libraries to go to in Abu Dhabi. There just wasn’t an infrastructure there. People used to think it’s like New York or the United States. There wasn’t that kind of infrastructure and it took us a while to grasp that.

Our colleagues in Abu Dhabi helped us fully understand it. We have a lot of other resource sharing and commercial resources to draw on and they don’t. So again that rethinking, just like Roddy did, where no, you can’t do it on Sunday. You’ve got to think about their schedule and their programming. That awareness of why responsiveness, speed, and follow-up was much more critical for them than it might be here in New York was a learning process for us.

Maybe the other big challenge—which we probably didn’t do enough because we were so busy building Abu Dhabi—was giving people here in New York a better
sense of what the environment was over there. When the light went on folks said “Oh, this is like reserves. When it’s reserves, we get the stuff really fast.” Maintaining a sense of balance when you’re so obsessed with building the place, you feel like you don’t really have a lot of time for the other part. Yet the communication here was equally important.

Roddy: The thing that is amazing is we were working on two libraries in Abu Dhabi and then two libraries in Shanghai almost at the same time, not quite, but the temporary library and then the permanent library in both places with some overlap in the planning.

Lucinda: Yeah, we built four physical libraries in a pretty short amount of time. And in staffing up—our first staffing draft was very similar to here in New York, in other words, gigantic!

Roddy: It was somewhat mind-boggling!

Lucinda: And then you started looking more practically at what peers were doing and then we thought, “What are we not going to have that the New York library has?” Because it’s like, well, we’re not going to have this big cataloging department over there. And we’re not going to have six senior administrators.

So then we began to come up with a much more right-sized staff. Thinking about what’s going to be handled here in New York centrally for a variety of reasons. There’s no reason to have three ILSs going. The tech services stuff—it was harder to recruit those people so it made more sense to keep that centralized as well. And since the whole focus in those locations was on high touch boutique services, what you wanted was staff who were really public service oriented, who were going to be very focused on the users. Those other things could be done here and could be centralized. Once we realized that we were staffing as a much smaller operation, then we could begin to focus on, what kind of staff do you need in order to deliver the kind of service that you wanted to deliver?

We learned a lot from other institutions in the Emirates because a couple of them, especially, talked about their staff development programs, the opportunities for online education, and things like that. That was one of the takeaways from talking to colleagues in the Gulf.

Scott: Sticking on staffing for a second—and you’ve already alluded to this a little bit—but having the right staff, and the right size of staff, also implies really robust connections between the campuses. If we telescope to
the present day, a lot of what we talk about around here is staff cohesion across the global network and it might be interesting to have you talk about what you're trying to do right now to build that up, or encourage it, or get everybody to have it in the front of their minds.

Roddy: First of all, you have to involve people in committees, in working groups. We have to have representation from the different sites so they can be involved in the business of planning for library services that impact users globally, not just on their local campus. That's challenging but it's important. I think it's easier for us to do that now than it was because we've evolved as an organization. In the beginning we were always reminding New York staff to include staff from Abu Dhabi on committees and working groups. Now I think there's much more awareness of the importance of including colleagues from all campuses. People must create relationships with their colleagues at other campuses. There is a certain amount of onboarding required at NYU Libraries, which is so critical, just to learn the full extent of our services and the depth of our resources, etc. But having that personal connection between staff is also really important to delivering high quality services to users wherever they may be.

Lucinda: It's critical.

Roddy: To know people! Not just through email or because you've seen them in a little Skype window. Those personal relationships are important. When you know your colleague you will think to call your colleague in Abu Dhabi or Shanghai and have a real conversation when you're planning something or you want to understand how a change might impact their operation.

The next thing, I think, is just continuing to promote awareness. Bringing people here, sending librarians to the other campuses is important. We regularly speak with our colleagues in AD and Shanghai. “What's going on?” and “Are things going well?” “What are your challenges?” Maintaining communication is important to any kind of relationship. And now that's just part of my week. That's something we try to encourage others to do as well.

Lucinda: I think that even though people didn't really realize it, we did a lot of buddying in the beginning. We did put people together.

Roddy: Right. That's true.

Lucinda: They thought it just happened by magic, but actually no. And I think that if you don't stay in touch on a regular basis, it won't work. I speak weekly
with the directors at both libraries, and emails go back and forth all the time. We have librarians from here who are members of the search process when they’re hiring librarians at both Shanghai and Abu Dhabi, usually pulled in because of their subject expertise. I think that’s a good way to promote cohesion too, because then you realize you had a role. You had part of the choosing of the person. You’ve established a relationship. I think that when you look at things like access services, they’ve become a group—Shanghai, Abu Dhabi and New York—that meets and talks to one another. They collaborate on things on an ongoing basis. We are also finding a growing collaboration between Abu Dhabi and Shanghai library staff. They are closer in time zone to one another, more similar in size, and can explore shared challenges and programming opportunities.

Also, there’s something about creating that recognition on both sides. One reason it’s more common to see Abu Dhabi and Shanghai staff in New York rather than us sending people over, I think, it’s just because when one person comes to NY they can see all 300 of us and we have the opportunity to share their experience and knowledge throughout the organization. We could say the same for going the other way, I suspect, and when that happens it really makes a difference for suddenly the person says, “Oh yeah, I get it,” and can share that knowledge with their colleagues at home.

I think it helps when they see the complexity and size of this operation as to understanding why New York is so into scheduling things! As opposed to they’re just across the hall from one another and it’s a much less formal organization that way. It’s a nice model actually—in Abu Dhabi and Shanghai—where they just hang out with one another. Although, Abu Dhabi is getting bigger all the time. They barely fit in one room any more when they all get together.

In the beginning, one of the librarians in New York gave us a sign written in Arabic, What have you done for Abu Dhabi today? We all had that little sign posted at our computers. I guess I’ve been able to take it down now.

Lastly, part of the cohesion has to do with understanding what the world is like in the Abu Dhabi library versus the Shanghai, and not just the library but the campus environment. Shanghai is very different than Abu Dhabi. Students are different. Staff are different. It’s another world. You can’t say, “I’ve seen Abu Dhabi, therefore, I’ve figured it out.” Those subtleties, and sometimes not so subtleties, they’re hard to communicate to people. Even in China where there are lots of big libraries, there are not a lot of English language libraries to send your folks to. Those assumptions that we have here of one campus don’t necessarily fully apply to the other.
Scott: We have gone a little bit down the road on this earlier, but maybe we can backtrack and talk a little bit about physical space and technology. As Roddy mentioned, we had a moment, or a series of years, where it was almost a leapfrog design process for these four different buildings. Can you talk about what that process was like?

Lucinda: When I was in Abu Dhabi the last time, someone reminded me about the really impossibly short deadlines for turning anything around! I was at my niece's wedding and I had to find a Kinko's in order to print out the plans to respond to the deadline. The deadlines were unbelievable!

In the physical building of things, I think you ran into different assumptions about what a library would be, more on the part of the architects and the builders. I think they weren’t ready for how much infrastructure it really takes to support a modern university. Even a twentieth-century university requires a certain amount. I think that was really a challenge, the classrooms—the IT infrastructure is huge.

Roddy: Just telling them how many network connections and power connections we wanted, they just were incredulous, “You’re kidding!” Then you go through the process of explaining the way people teach, how many devices students have, that whole American higher education model. They understood it, but they were not prepared to support that. I think at least in Abu Dhabi we got a lot of what we wanted, but it was scaled back.

It’s less of a problem in Shanghai, I think, because it was an office building. It was built as a space that was going to be reused. The model was, you’re going to move out of here in five years and move to another campus and we’re going to resell this space to somebody else. Raised floors, raised ceilings, central infrastructure—everything was already preplanned—so it made it much easier to say, “I need seven network connections in this classroom, and I need four power outlets and three connections in this study room.” It was less of a challenge because of the actual physical design of the space.

Abu Dhabi is very different because they follow a very different building model. Adding infrastructure, in many places, was not only a cost issue, it was a design challenge for them.

Lucinda: Especially in Abu Dhabi, because we were able to design spaces thinking of how people teach and learn today with collaborative, group, and instructional spaces—moving back to the clean slate idea. Communicating that idea to people
who thought a library was nothing more than books the response was like, “Really? You want a classroom?”

**Roddy:** Right. But I will also say, on the other side, that some of the consultants, designers, and technologists involved had such a futuristic vision that we weren’t ready for that either. Some had an idea that absolutely everything is going to be digital in the classrooms. Sorry, no. That’s not the way people teach today. We’re not in a totally digital world now so everything can’t be just digital. That was a disappointment for them because they had accepted the vision of a totally futuristic university and campus. So they just assumed that the way we do our business, the way we teach, was already at that level. We want to build the infrastructure that will support that, but on a practical level we still have to live in the twentieth century.

**Lucinda:** Twenty-first century?

**Roddy:** No. Our methods, in some ways, are still twentieth century where instructional pedagogy is concerned! We will have to support multiple modes for a period of time since new pedagogy also takes time to evolve and become widely accepted. People didn’t like to hear that at all.

**Lucinda:** I remember the architect saying to me, “You just want a regular old-fashioned library?” We said, ”No. We want all the new-fashioned library things and want the old too.”

**Roddy:** It’s interesting because as we talked about conceptions—everybody’s preconceptions about a library that people brought to the process—their conception was generally quite traditional. Same with classrooms or study spaces. Not always. Not with all people. But many came with that preconception and it meant always having to go through that story again; no, that’s not what we’re envisioning, that’s not our conception and here are the reasons why. Mostly people got it, but their whole thought process for design, whether it’s physical design or infrastructure or whatever, was all based on their preconceptions of libraries and classrooms. We were always working on that. It was just that people weren’t used to thinking outside their own conception of the way things happen in a university today.

**Lucinda:** I think the other thing about the space was that we have not only library space, but we have library staff space. We planned for the whole thing and it seems so revolutionary to go over there and think, “Wow, we’ve got so much space,” or even extra space, because we also had to plan for what it was going to be like when they reached full capacity. So we built for that full capacity.
We have some empty offices, but we know one day we will have staff in those offices. Also, how do you build for not just move-in, but what’s the academic world going to be like in 2020 or 2040? How do you build for that? We had to try to envision the ramp-up of collections, the ramp-up of staff, the change in services as the technology changes. And similarly we had to ask, what’s the program going to be when there are 800 graduate students there in addition to the undergraduates?

Then, finally, you get to see what’s actually becoming of it. Because now, once they’re in the space, certain rooms have been repurposed already, which is great. That’s a sign that you did it well—that they’re not locked into something that you thought was a good idea from New York and then they’re stuck with what you designed—when actually the spaces were flexible enough that they’re able to repurpose them.

It is interesting to see how some of the spaces are being reused, repurposed. The spaces really allow them opportunities to collaborate more with one another across departments and units in Abu Dhabi, which happens a whole lot more than it does here in New York. So that’s one of the benefits. I think that’s a sign of a successful space these days, if you can repurpose it.

Roddy: Right. Flexibility. Flexibility is so key here.

Scott: What do you think surprised you most or what would you do differently with the benefit of hindsight?

Lucinda: One of the things that surprised me the most, and it probably shouldn’t have because I had spent enough time there, was I thought we’d be just one big happy family—New York, Abu Dhabi, Shanghai. We’d all be just rotating around this new system. I was actually surprised at how proprietary many people became initially. We are the Abu Dhabi librarians, we are the New York librarians, and rarely the twain shall meet. It was particularly surprising given that the faculty and the students are moving between the sites so much. I think that was one of the surprises. Sure, we all have specialties and prides in our own campus, but with all this movement among campuses why wouldn’t you all want to think collectively about instruction for freshman? Or think collectively about an ebooks LibGuide, for example.

Now as the campuses have matured, the three-way street is more the norm. There are things they’re able to do in Abu Dhabi or in Shanghai that we just couldn’t even think to try in New York. They’ve done it. They’ve tried it. It works. So let’s listen to it and try some model here in New York. That, to me, is a surprise at how
challenging it’s been to think we want to learn from one another and we want to share that way.

Roddy: I will add, it is really important going forward to create opportunities for the folks at these two campuses to share with us successes that they have achieved, to help us understand that we can learn from their work.

There can be some resistance. There's always this idea of the mothership New York trying to tell them what to do. A little bit of that attitude is understandable and we tried to counter that perception. We have become much more sensitive to their opinions and input. So having a dialog, advocating, and trying to understand each other all continue to be important to maintaining strong relationships. It’s important that it is not New York saying, “We are different because we’re so large.” We can certainly learn things from a smaller operation and we should strive to do so. I think there are different ways to share and we are already doing it, but I think we can always try to make sharing outcomes a more important goal. I don't know if it means bringing people here more often or doing more purposeful sharing.

Lucinda: I think we are getting better because we speak with them frequently. We have a pretty good idea of what’s going on.

Although when I was over there, I met with everybody individually and learned so much about the work they were doing and really came away thinking, “Wow, we could be trying this here, and we could be doing that there.” Sometimes, though, we really don’t have enough of an idea what goes on over there. Because of some shared lists we have here in New York, the Abu Dhabi and Shanghai librarians get a sense of what’s going on here. We don’t have that comparable thing. I think it takes awhile to learn that it’s a three-way street. You have to call or say, We're doing this, do you want to partner on it? And that partnering goes both ways.

Scott: I think we’ve had a very New York-centric idea of leadership. Many projects have tended to flow from us to them. I think we’re starting to see opportunities for the network to actually work as a network instead of hub-and-spoke.

Roddy: We have to advocate for that. We have to promote that and remind people of that, I think. Again, not because people don't want to be collaborative, it's just not a normal way of operating unless you’ve been operating like that for years and you’ve had to do so. It’s an evolutionary process organizationally and culturally, as we’ve learned, and it’s still ongoing.
Scott: I know we’ve talked a lot here about intentionality of communications. I think we’ve changed a lot in the way we deal with those questions, right?

Lucinda: Well, we do things differently now. Many of us talk every week. In the beginning with Abu Dhabi, we weren’t talking every week and we weren’t looking at one another when we were talking. Once we started doing the video conferencing and facing one another, communication has improved. We learned something about how much that personal contact in seeing one another makes a difference. And it’s not like we have news that has to be imparted on a weekly basis, but it’s just keeping touch. I think that the communication was much improved the second time around, internally, and in the revving-up communication, and then the working with the few staff that we had in Shanghai.

Looking back on it, I’d also say that trying to bring others along and let them know more about what the situation is. We didn’t think about that a whole lot. We were so immersed in it. But I don’t know, in the beginning probably, we could’ve shared our immersion with others more. That might have been helpful.

Scott: I remember when one of the first Abu Dhabi librarians visited, you asked her to give a talk. The room was overflowing with people, and I remember looking around the room and seeing folks that hadn’t really been involved thinking, “Oh! This is a real thing! They’ve got a life and they are smart people and they are doing their thing and it’s really impressive.” Before that, not a lot of people were really engaged with what was going on.

Lucinda: It’s hard to be engaged if you don’t see a plan. Finally there was someone who had walked in the door and was talking to faculty and could report it. That’s a very different thing. It’s harder to engage in all the planning stuff, the back and forth, the fact finding, the abstract.

I think the other thing is that there were people engaged in it, but everybody engaged in their own level, and there wasn’t as much overall. There wasn’t really an Abu Dhabi cohort to speak of.

Now I think when we did Shanghai, we applied a lot of lessons we learned from the Abu Dhabi experience. We had a very different level of internal organization. There was an NYU Shanghai library team that met weekly. What’s going on with this thing? What’s going on here? What’s the licensing situation? Shanghai didn’t have the lead time that we had with Abu Dhabi and the whole organizational
structure was different. It was a very different, and shorter, process in terms of planning and design. But the creation of this team, that met weekly, helped us meet that shorter timeline and facilitated problem solving and coordination. We just didn't have that with the Abu Dhabi project.

Roddy: In some ways, the short process was better, because things change so much in a long process because they have to. It's implied in such a big, long project. If you're in a big project you have to realize that things are going to change in many ways. You just have to react and compromise and be flexible.

Scott: Well, I want to thank you both for a really stimulating conversation. It's been really great to get your insights on this unique undertaking.

Biographies

Roddy Austin is Associate Dean for Information Technology and University Media Services at NYU Libraries. He is responsible for Libraries IT systems that support all NYU campuses and the consortium of Southern Manhattan, Bobst Library Client Services, Library Systems, and Library web development. He directs University Media Services, which provides classroom AV support for faculty as well as special events and video recording services; and also NYU-TV and NYU Campus Cable, the University's private TV and campus cable network. Roddy advises university leaders and planners regarding classroom design, evolving classroom technology tools, and instructional video conferencing as new classrooms and learning spaces are designed for NYU New York and global campuses.

Lucinda Covert-Vail is Associate Dean for Public Services for NYU Libraries and a member of the senior management team. Her portfolio includes program planning, implementation, and outreach; access, resource sharing, instructional and reference services; digital and media services; global services; library renovation and facilities planning; building program development; user experience; and assessment.

She served as Interim Director for the NYU Abu Dhabi Library in 2009, leading the initial development of services, staffing, and the physical plant for the interim and permanent libraries. She coordinated the NYU Shanghai library program development and implementation and coordinates services and programming between NYU Abu Dhabi, NYU Shanghai, and New York.
SECTION 2:

Delivering Global Access Services and Technology Support
chapter two

Creating Global Delivery Strategy:
Services, Systems, and Practices

Beth Daniel Lindsay, Kristina Rose, Sydney Thompson, and Shoshannah Turgel

Six years ago NYU Libraries did not offer comprehensive delivery services, scanning or paging of local collections, to library users. Today delivery services are well developed for select library users throughout NYU’s global network. How does a major research library develop these services? This chapter outlines the conceptualization, development, and current state of delivery services at New York University’s three degree-granting campuses and academic centers. Topics include selection of request system, shipping of materials, user expectations, usage statistics, staffing, and the rewards and challenges of working with a team based around the globe.

Why NYU Needs Global Delivery Services

New York University has three degree-granting campuses and eleven academic centers worldwide with an enrollment over 50,000, nearly equally divided between undergraduate and graduate students, and over 4,500 full-time faculty. The development of NYU’s degree-granting campuses in Abu Dhabi in 2010 and Shanghai in 2013 represented a sea change for library services. Unlike academic centers that primarily support students and scholars for a single semester-abroad experience, the degree-granting campuses were expected to develop a full suite of library services to support the needs of undergraduates, teaching and research faculty, and, eventually, graduate students and faculty as well.
In 2007, NYU President John Sexton described the creation of a “global network university” that would allow “faculty and students to move seamlessly through the network… without leaving the University’s intellectual community and resources.” President Sexton’s mandate that faculty and students in this network have the same access to resources, as those in New York City required a reimagining of library services, particularly access to print collections. NYU network connectivity at all locations, portal campuses as well as academic centers, and license agreements allow full access to NYU’s e-resources. However, access to print materials is a challenge for students and faculty at both the academic centers and the portal campuses. The portal campuses are better equipped due to in-house library collections, but these collections are still limited and primarily intended to support curricular needs. They are not always adequate to meet the research needs of visiting scholars, standing faculty, postdoctoral candidates, and students.

In this context, providing access to NYU Libraries’ 5.9 million-volume print collection—primarily located in New York’s Elmer Holmes Bobst Library (Bobst) and its offsite storage facility, as well as interlibrary loan services—is a critical requirement for supporting instruction and research, and fulfilling the promise of a “seamless” experience throughout the global network.

Providing access to library materials for students and faculty studying and working at a distance is not new for libraries. Many libraries offer some type of delivery service, either document delivery (scanning) or paging services (campus delivery or mail), to support faculty, graduate, or distance education students. However, NYU Libraries was challenged to expand this model to accommodate the academic needs of a far-reaching community that allows for users to move within a global network.

For example, Abu Dhabi and Shanghai students are expected to spend one to three semesters during their course of study at another NYU location, and the composition of faculty at portal campuses is fluid, including visiting faculty who retain their positions at other universities or other NYU sites. This means NYU has both students and faculty who will either graduate from the institution or teach at one of its locations and never step foot in New York. To accommodate a mobile user population, the global delivery strategy was developed to work seamlessly for individuals who might change locations multiple times and who might not be able to visit an NYU Library or interact with a librarian before using the system.

Over the past five years, library staff in New York, Abu Dhabi, and Shanghai have collaborated to develop a system to support the academic demands of the University’s far-reaching international community. This effort has resulted in the creation of the Delivery Services unit, housed under the greater umbrella of Access, Delivery & Resource Sharing Services. The primary goal is to ensure library users have timely access to requested materials regardless of their location within the global network. Specific services include the scanning of materials and the paging of materials from New York to portal campuses in Abu Dhabi and Shanghai.
Building a Foundation

NYU Libraries is a complex institution that comprises eleven libraries in New York City alone. In addition, the Libraries have consortial agreements that include a shared catalog with five other New York-based institutions. Before the development of delivery services, scanning and paging services were provided for collections in the Libraries’ offsite storage facility but delivery was limited to Bobst Library. Users, regardless of patron status, were required to visit the owning library to both borrow and return materials.

In early 2009, NYU Libraries hired a Delivery Services Librarian to implement user-focused delivery services. The opening of NYU Abu Dhabi provided an impetus for rapid development, but a scheduled upgrade to the integrated library system (Ex Libris Aleph) and interlibrary loan software (ILLiad) occupied institutional resources, which delayed the development of a sophisticated global delivery services. At the time, there were a small number of library users in Abu Dhabi who required materials from New York and several stopgap systems were developed so requests for materials, both scans and pages, could be immediately fulfilled. Initially users were directed to a simple web form. Later, their requests were directed via catalog links to ILLiad and requests were processed through the interlibrary loan workflow. This workaround was not user-friendly because the interface was intended for unavailable materials (ILL loans) but not delivery services. Users were instructed to disregard most of the on-screen instructions and to indicate their delivery location in the notes field. Staff had to check the notes field and manually sort incoming requests for delivery services. Not surprisingly, this proved problematic because interlibrary loan (ILL) requests for locally available materials were usually canceled; thus many requests from global delivery were canceled in error.

A more robust system scalable to President Sexton’s vision of the Global Network University was needed to develop sustainable delivery services. Initial research was conducted to determine the best software to process requests. Listservs were queried and processes used by institutions offering scanning and paging services were reviewed. The choice was between Aleph and ILLiad; both systems have their merits. Aleph works extremely well for paging and delivery with a streamlined stacks search list, simple hold trapping, transiting, and patron notification. ILLiad works well for article and chapter scans where there are more steps in the process, more information attached to the request, and has a more sophisticated delivery and article retrieval method. The user experience is similar as both Aleph and ILLiad link from the discovery point to place a request. It was determined that ILLiad would require more development at the outset to integrate with the online public access catalog (OPAC) and that development efforts in Aleph would prove more scalable for a seamless patron experience with additional campuses and user mobility. The decision was therefore made to use Aleph for scanning and paging services.
requests for available material, and ILLiad for unavailable material, i.e. non-circulating or reserve items, as well as ILL requests from global users.

In addition to creating the request process, Abu Dhabi’s library holdings needed to be integrated into the shared catalog. The creation of a globally shared discovery system, patron database, and request system introduced a new level of complexity to an already complex system. Aleph is not able to support multiple time zones in a single administrative unit (ADM), so a second ADM was required to allow for short-term loans such as reserves. Introducing the second ADM required more work than initially anticipated and broke some functionality regarding the circulation of materials. For example, items going from New York to Abu Dhabi would not be labeled “In Transit.” As a result, materials were checked out prior to shipment and users were notified the material was on its way. A staff member in Abu Dhabi manually emailed each user once the material arrived. Transit handling was a main reason the request process was automated through Aleph, so this development was an unwelcome surprise. Luckily, material does update as “In Transit” back to the owning library when returned by the user. Transit functionality also works when material is moved between libraries in the same ADM. Another unanticipated outcome of the separate ADM for each time zone is that users have an account in each ADM; meaning their circulation history, fine history, and permissions are maintained separately.

Over time these challenges resulted in a better understanding of the capabilities of Aleph and ultimately improved services for NYU Library users. Aleph allows for differentiated services based on locations and/or patron statuses. It is therefore possible to create new patron statuses to accommodate users located at different pickup locations abroad and to allow for seamless requesting from the catalog.

It was correctly anticipated that faculty would move between campuses frequently. To ensure seamless access, services for paging and scanning were made available to all faculty at the outset (subsequently extended to all doctoral students in Fall of 2011). The new services were handled differently in New York and Abu Dhabi. In New York, services were soft launched to allow library staff time to refine and improve workflows and ensure that staff had adequate training to meet the demands of a large user population. In Abu Dhabi, the services were widely publicized to allow for immediate access. There were two reasons for this decision. First, when the NYU Abu Dhabi Library opened in fall 2010 there were approximately 5,000 print volumes, most of which were directly related to the curriculum. Access to materials in New York was therefore required to meet the needs of the faculty. Second, the portal campus initially enrolled only 150 first-year students and had approximately 100 faculty members. Unlike New York, library staff were able to personally assist most users with their delivery services needs. All Abu Dhabi-based employees were cross-trained, even the library director, on the request and receipt process so anyone could assist and communicate with the user.
population about how to access material. This highly involved service was necessary given the limitations of the initial stopgap system. Fortunately, by the time most students and faculty arrived and began to request materials, the process was running more smoothly.

The ability to request scans and page materials was seen as a major service improvement for New York-based faculty and a necessary one for users at NYU Abu Dhabi and Shanghai. Regardless of location, the process is entirely automated and requires no setup on the part of the user. All faculty members and doctoral students have access to scanning and paging services, but undergraduate access is limited to students located in Abu Dhabi and Shanghai. Access is automated, as configuration in Aleph controls the display for the appropriate request options in the Libraries’ discovery layer. Differentiated services, based upon a user’s location and status within the global university, requires coordination between the Libraries’ and the University’s student and employee information systems to determine a user’s status and location within the global university. As a result, obtaining the most current data and correctly loading it into Aleph has become a critical but unseen component of the service. The data is dependent on many variables and underlying systems. Maintaining differentiated permissions and statuses is time-consuming and difficult, but is well worth the benefit to users.

**Extending Services to a Second Portal Campus**

As part of the second portal campus, the NYU Shanghai library inherited the concept of global delivery services and benefited greatly from the philosophy and workflow developed to provide resources for patrons at Abu Dhabi and other global sites. When NYU Shanghai opened in August 2013, testing of shipments and developing of systems was well underway. Global Delivery was promoted, among other library services, during the library’s first orientation presentation. NYU Shanghai’s initial print collection was limited to several hundred volumes, most of which directly supported the curriculum. Like Abu Dhabi, collections in New York are considered offsite storage for NYU Shanghai. Unmediated access to library resources in New York was therefore an initial service goal, necessary to provide students, faculty, and staff with the resources needed for academic research and coursework.

Unfortunately, Shanghai experienced some of the same challenges that were seen in Abu Dhabi and, similarly, a stopgap system was put in place to accommodate initial requests. This involved emailing the Access Services Librarian who manually input all requests on internal spreadsheets shared between Shanghai and New York.

The reasons for the delay in automated service were threefold. First, there were concerns about shipping books to China because of an assumption that cer-
tain materials are banned and censored. Moreover, several meetings with China-based book vendors led to the conclusion that used books, which includes library books, are inspected more closely than new books and sometimes held for long periods of time in China’s customs facilities. Test shipments were sent over the course of several months, all of which confirmed there was, in fact, no problem shipping books through Chinese customs. Second, there were staffing changes in New York that delayed the ability to make systems changes required to develop this service. Third, Aleph upgrades delayed implementation and created unanticipated technical problems, which prevented many users from using the automated system. Those problems took time to work through and staff in both New York and Shanghai collaborated on troubleshooting and documenting outcomes to ensure reliable service.

By the end of the Fall 2013 semester, ILL forms included NYU Shanghai as a delivery location and library users were able to submit requests for articles and chapter scans directly, echoing the work-around developed for NYU Abu Dhabi. Aleph was appropriately configured to allow for automated requests in the Spring 2014 semester.

**Staffing**

The number of staff required to maintain this complex operation has grown steadily since the first Delivery Services Librarian was hired in New York in 2009. Currently, there is a small team of employees in New York, Abu Dhabi, and Shanghai who collaborate to support all global delivery requests. Scrupulous attention to detail and daily communication between this team are essential to ensure high-quality service and guarantee a fast turnaround on requests.

An Abu Dhabi-based Access Services librarian was hired in spring of 2010 and four Abu Dhabi-based library assistants were tasked with providing support for all library services, including delivery. Over the past several years, the staff has grown to include an Access Services Supervisor and two additional library assistants. The Abu Dhabi staff no longer do technical services work and their tasks extend beyond delivery services to include staffing the information desk, shelving, and other access services work. On average, the majority of delivery services work is handled by two staff members, translating to approximately .15 full-time equivalent (FTE).

Staffing for Shanghai followed a similar pattern. A Shanghai-based Access Services librarian was hired in spring of 2012. Since Fall 2013, the staff has grown to include one senior library assistant, two library assistants, and one library assistant/administrative aide. The majority of delivery services requests are supported by the two library assistants who also have other access-related responsibilities, including hours at the circulation desk, course reserves, and stacks maintenance. Their delivery services work translates to approximately .25 FTE.
The majority of the global delivery team’s work is completed in New York where one full-time employee works exclusively on global delivery services, a supervisor splits her time between ILL and Delivery Services, and a Delivery and Resource Sharing Services Librarian provides oversight and strategic development for all of NYU’s request services (delivery services, interlibrary loan and direct consortial borrowing, E-ZBorrow). New York depends heavily on the support of many student workers, the equivalent of about 2 FTE, for retrieving books from the stacks, scanning and shipping. Thus work on delivery services in New York requires approximately 3.75 FTE.

Practical Concerns: Shipping and Time Zones

Providing seamless services to users around the globe is challenging, especially for staff required to collaborate while maintaining asynchronous schedules. Although anticipated and planned for, shipping, time zone, and staffing concerns have proved to be dynamic issues that were not fully understood in advance and which continue to require adjustments.

Shipping materials is a major aspect of any delivery services operation. Shipment tests were conducted to track cost, speed, and compatibility of infrastructure at each portal campus. Materials leaving New York bound for Abu Dhabi are shipped via UPS because NYU contracts with UPS, has negotiated preferential rates, and has established pick up times. Materials shipped from Abu Dhabi to New York go by FedEx for similar reasons. Materials shipped to and from Shanghai are sent via DHL, which is widely accepted as the international carrier of choice in China. Round-trip shipping expenses are paid by the portal campuses.

An overhead Bookeye scanner was purchased to manage the anticipated increase of scanning requests. This was an upgrade over the equipment used previously for ILL scanning and software integration with ILLiad allowed for increased efficiency. Here again, while this equipment was purchased with portal campus users in mind, all users have benefited from improved turnaround times and our materials are treated more gently as well.

Shipping between New York, Abu Dhabi, and Shanghai is complicated by different time zones and academic calendars at each of the global sites. In the U.S. and China the standard workweek is Monday through Friday, while in Abu Dhabi it is Sunday through Thursday. All three portal campuses follow different holiday calendars, which has an impact upon the academic calendar and vacation schedule. Some holidays, such as Chinese New Year, follow the lunar calendar and thus change from year to year. Time zones also affect shipping duration. Materials traveling east go against the clock and thus take an additional day to arrive. As a result, an item shipped from New York to Abu Dhabi takes two days to arrive even if it is sent overnight. Materials traveling west arrive more quickly, sometimes even appearing to arrive before they left! Both staff and students must keep track of materi-
als’ destinations and use the appropriate shipping method. Fastidious coordination of schedules is necessary to ensure library users experience consistent turnaround times for requested materials. Initially, spreadsheets were kept to track shipping because there was concern that materials might go missing. The same spreadsheets are still maintained to establish benchmarks, estimate delivery time, track requested items in transit, and help trace claim returns. While this appears seamless to users, it requires great attention to detail necessitating excellent training and supervision.

Time zones greatly affect staff communication and coordination. At 9 a.m. eastern standard time when library staff are getting to work in New York (–5 UTC), Abu Dhabi library staff are leaving for the day (6 p.m. gulf standard time, +4 UTC), while in Shanghai they’re heading to bed (10 p.m. china standard time, +9 UTC). Work schedules were created to help facilitate communication. When the Delivery Services Supervisor in New York was hired in 2011, we created a Sunday through Thursday early morning work schedule so her workday would overlap with staff in Abu Dhabi.

The need for global collaboration is not only considered in the planning of staff work schedules, but also in identifying meeting times. Flexibility is paramount; colleagues often call into meetings from home. While in the planning stages for NYU Abu Dhabi, library staff in New York scheduled a weekly meeting to discuss the project, but initially the meeting did not include NYU Abu Dhabi Library staff. Realizing what now seems to be an obvious oversight, the meeting was rescheduled to allow NYU Abu Dhabi librarians to attend. With the addition of NYU Shanghai, the most popular meeting time, and only practical meeting time for all three locations is 9 a.m. in New York, 6 p.m. in Abu Dhabi, and 10 p.m. in Shanghai. Google Hangouts, campus phones, Skype, or combinations of the three are utilized for these meetings and work, for better or worse, at any given campus on any given day.

Although we have made strides improving our communication strategies in this global work environment, our different time zones can still delay solutions when problems arise. When an issue is encountered in Abu Dhabi or Shanghai, it often cannot be addressed in New York until staff arrive. When follow-up or troubleshooting is necessary, the resolution can be delayed by days. Providing visual supplementation using video screen capture programs, such as Jing, greatly facilitates identifying and resolving problematic issues.

While time zones, work schedules, and academic calendars have proved challenging in providing delivery services throughout the NYU global network, meeting the challenge has not only helped to develop strong relationships across global sites, but strengthened relationships in New York as well. Moving physical materials around the world both required and allowed for an expansion of our delivery services in New York and provided an opportunity to collaborate with new colleagues. In order to provide a seamless and reliable service, a strong communication strategy for training staff and tracking material was necessary; creating
this required the support of staff members working together in New York and throughout the global network. The unanticipated outcome has been the valuable rapport we have built across the organization, ultimately allowing for further service development and improvement.

The System in Action

Global delivery services is now a well-established and well-regarded service at NYU. Currently NYU faculty, administrators, and doctoral students on all three campuses may request items from Bobst Library, Courant Institute of Mathematical Sciences, Avery Fisher Center for Music and Media, offsite storage, direct consortial lending program E-Z Borrow, and interlibrary loan to be delivered to one of eight locations: six in New York City, as well as Abu Dhabi and Shanghai. For patrons in Abu Dhabi and Shanghai, this privilege is extended to university staff, undergraduate students, and graduate students. Patrons studying at one of NYU’s eleven global academic centers may request scans using the Libraries’ ILL system, but paging services are limited to Graduate Research Institute Fellows, a program which supports faculty and graduate students conducting research outside the U.S. Patron permissions are updated nightly to ensure users have appropriate access to the full network of library resources. This is particularly important for undergraduates who only gain access to delivery services if they are studying at NYU Abu Dhabi or Shanghai. New York area library users may return items to all locations, both NYU and consortium. The libraries in Abu Dhabi and Shanghai, as well as global academic centers, handle the return and shipping of items back to Bobst Library on behalf of the patron. Patrons are not charged for shipping items nor are they limited to the number of requests they may place.

While the initial impetus for delivery services was to support users studying and working at Abu Dhabi and Shanghai, nearly 90 percent of requests originate from users on the New York campus. Faculty in all locations account for the majority of use (see Figure 2.1). However, student usage continues to rise as enrollment at global campuses increases and as students, particularly doctoral students, learn about the service. In the 2013–2014 academic year, usage by Abu Dhabi students increased by 33 percent and New York doctoral student usage likewise increased 33 percent. The number of requests has increased each year since the official launch in September 2011, however overall usage began to level off academic year 2013–2014, only increasing 4 percent from the prior year (see Figure 2.2). For the most recent academic year, 90 percent of requests were for the entire item rather than a scanned portion. Turnaround times for New York users requesting available items average one to two days, and for global users, four to seven days depending upon location. Generally, delivery to Abu Dhabi takes three to five days and Shanghai takes seven days. Requests for chapter or article scans are typically delivered within 24 hours, six days per week.
Figure 2.1. Scanning and Paging Requests by User Type, 2013–2014

NY Faculty, 59.1%
NY PhD Students, 28.6%
Global Sites Users

Shanghai Students
Shanghai Faculty
Abu Dhabi Students
Abu Dhabi Faculty

Figure 2.2. Requests by Delivery Location: 2010–2014

Number of Requests

<table>
<thead>
<tr>
<th>Fiscal Year</th>
<th>NYU New York</th>
<th>NYU Abu Dhabi, Shanghai, and Global Academic Centers</th>
</tr>
</thead>
<tbody>
<tr>
<td>2010–2011</td>
<td>7,000</td>
<td>0</td>
</tr>
<tr>
<td>2011–2012</td>
<td>15,000</td>
<td>1,000</td>
</tr>
<tr>
<td>2012–2013</td>
<td>19,000</td>
<td>1,500</td>
</tr>
<tr>
<td>2013–2014</td>
<td>21,000</td>
<td>2,000</td>
</tr>
</tbody>
</table>
Circulation Policies and Practices in a Global Context

Global delivery services have resulted in several beneficial changes to long-standing circulation policies and practices, particularly fines and recalls. In 2008, prior to implementation of global delivery services, NYU Libraries ended daily overdue fines for general collection materials. This policy change was enacted in response to changing user expectations in the era of Netflix. However, it was also quite prescient for supporting global delivery services, in which context charging daily overdue fines are cumbersome, particularly given differences in currencies. Additionally, Aleph does not have functionality for self-service payment of fines and fees so users are required to either call or pay fines in person, an untenable model for global users. For all users, the Libraries charge replacement fees for lost materials and overdue fines for short-term loans, interlibrary loan, or overdue recalled materials.

Similarly, the Libraries’ practice of allowing users to recall items from one another, thereby shortening the loan period, is proving impractical for materials delivered to global locations given the time and expense involved in shipping materials between locations. Library staff regularly cancel recall requests on materials delivered oversees, referring users to our interlibrary loan service. The Libraries plan to eliminate the ability of all NYU patrons to place recalls in the near future, a change motivated by the particularities of our global campuses and NYU’s joining E-ZBorrow, a direct-consortial borrowing service, in 2014.

Conclusion

After six years, global delivery services at New York University continues to grow at a steady pace. During that time the university has added two international campuses, neither of which have yet reached full capacity. However, request volume has already begun to stabilize as the majority of requests come from New York-based users and that population has not changed drastically. For nearly all users the experience is seamless, as President Sexton challenged university administration to provide. This is the major strength of NYU Libraries’ strategy.

Due to the significant difference in number of both staff and users, user expectations and library practice in Abu Dhabi and Shanghai will remain significantly different from New York. At both portal campuses delivery will always be a high-profile service. The availability, via delivery services, of library resources for research is a major attraction, particularly for faculty considering NYU Abu Dhabi or NYU Shanghai. While delivery services are a popular benefit for faculty and doctoral students in New York, they are widely viewed as essential services at the portal campuses. Therefore, service disruptions cause a great deal of distress for both the user and library staff at global campuses.
When the service opened, in both Abu Dhabi and Shanghai, a small number of faculty members could not request materials. This was a crisis since they represented a significant portion of the users at the portal campuses and were personally known to library staff. Since delivery services are essential for global faculty and students, service performance must be as routine as possible, especially delivery times. If library staff cannot meet service expectations, clear communication with the user and library staff at the receiving location is essential to prevent distrust in the service and anxiety about the library. In New York, errors or service gaps are less likely to cause widespread alarm among users or staff. Most of the staff responsible for maintaining systems are located in New York so problems can be resolved in real-time and, of course, New York users have the option of retrieving materials themselves or visiting several other local libraries. In Abu Dhabi and Shanghai the on-campus library is, for all intents and purposes, the only library available.

Even though the system is robust and easy for users, from the backend it depends on many systems, which need periodic upgrades. It is also dependent on staff expertise. Staffing changes are inevitable and are particularly challenging in this context. For true integration, staff must be globally minded and move around campuses; faculty and students are not the only ones who circulate throughout the global network university. NYU Libraries staff around the globe continue to collaborate in developing and troubleshooting services around the needs of this dynamic user population. The goal of seamless user experience requires sustained and significant staff time and effort.

Due to the success of delivery services, user expectations are high. Users may experience delays that have no readily apparent reason. When hurricane Sandy hit New York City in 2012, Bobst Library was closed for days. Users in Abu Dhabi may not have realized why their requests were not being fulfilled as usual because the weather in Abu Dhabi was unremarkable. Users are often unaware of holidays at other locations and so do not account for processing and shipping delays when they request materials.

Just as the previous six years have brought significant change to NYU Libraries, so will the future. For now, delivery services are New York-centered with materials going from New York to the portal campuses and then returning. Going forward, NYU Libraries may modify the delivery model to allow for reciprocity from and between portal campuses. Floating collections—where items do not necessarily have an assigned “home” library—are another possibility, although not one to be entered into lightly and one that brings considerations well outside the scope of delivery services. Our current model would allow us to easily and quickly expand the service to other groups of users based in New York, e.g. graduate students. However, the staffing required for servicing a larger user base is a significant concern.

Libraries considering implementing or expanding delivery services should carefully consider their institutional capacity—both within the library and in cooperation with other administrative units—and the context in which they operate. For NYU Libraries the demands on library staff, while significant, more than justify the benefits offered to end-users.
Acknowledgments

The authors acknowledge David Perry, Senior Programming Analyst, for his help in providing data for this chapter. We also acknowledge the hard work of all the staff involved in providing excellent services to our users.

3. The New York University Abu Dhabi Library collection is expected to comprise approximately 100,000 volumes. The current NYU Shanghai facility will hold approximately 40,000 volumes.
5. NYU is also now a member of PALCI, Pennsylvania Academic Library Consortium, Inc., but was not a member at the time of the development of global delivery services.
7. Because neither China nor the United Arab Emirates observe daylight savings time. During DST the differences are 9 a.m. EDT, 5 p.m. GST, 9 p.m. CST.

Biographies

Beth Daniel Lindsay is the Access and Public Services Librarian at New York University Abu Dhabi, a position she has held since 2010. She holds an MLS from Queens College (CUNY) and an MA in French Studies from NYU. Her undergraduate degree in History and Political Science is from Davidson College (NC). She spent her junior year abroad in Paris studying French history, language, and politics. Prior to joining NYU, Beth worked as a legal assistant for a non-profit that finances affordable housing.

Kristina Rose is Head of Access, Delivery and Resource Sharing Services for NYU Libraries, a position she has held since 2012. Kristina also worked as Access Services Librarian for NYU and at Columbia University’s Butler Library. She has a background in
media marketing and communications from a prior career in magazine publishing. She holds an MLS from Long Island University and a BA from University of Colorado Boulder.

**Sydney Thompson** is the Associate Head of Access and Delivery Services at North Carolina State University Libraries, a position she has held since 2012. Prior to this she was the Delivery Services Librarian at New York University Division of Libraries. Sydney holds an MLS from Queens College (CUNY), an MA in Sociology from The New School for Social Research, and a BA in Sociology from University of Alaska Anchorage.

**Shoshannah Turgel** is the Access Services Librarian at NYU Shanghai, a position she has held since 2013. She holds an MLS from The Palmer School at Long Island University and an MA in World History from NYU. As an undergraduate, Shoshannah graduated summa cum laude in history from the University of Colorado Boulder and spent two years as an international student of Chinese language at Fudan University in Shanghai.
A newly established academic library naturally lacks collection depth and breadth, especially if the curriculum it supports is narrow and well defined. Fortunately, American universities operating abroad with home campuses that have strong libraries with consortial and other resource-sharing relationships, and robust ILL operations, can overcome the lack of a local research-level collection. Local resource-sharing relationships may also be important. This chapter presents the case of Northwestern University in Qatar Library and how its interlibrary loan services developed in a relatively brief period of time and what shape it may take in the near future.

NU-Q and Its Library

Northwestern University in Qatar (NU-Q) opened in 2008 as Evanston, Illinois-based Northwestern University’s first non-U.S. campus. This campus, in Doha, Qatar, graduated its first class in 2012 and is part of the innovative Education City (EC) initiative of the Qatar Foundation (QF). Five other U.S. universities, including Carnegie Mellon University in Qatar and Texas A&M University in Qatar, are part of EC, as are other QF-sponsored institutions such as the Faculty of Islamic Studies, Hamid Bin-Khalifa University, and the Qatar National Library.

NU-Q offers two undergraduate degree programs, one in communication and the other in journalism. The Liberal Arts program serves all of the students. As of fall 2014, there were thirty faculty teaching nearly 200 students. In addition, students from across EC can cross-register and take NU-Q courses. The student population is about 40 percent Qatari and the rest represent thirty other nationalities including Canadian, American, Pakistani, Korean, and Egyptian. English is the medium of instruction and primarily English-language materials are acquired,
though there are some Arabic monographs that have been acquired as gifts. NU-Q also purchases select Arabic-language and other databases of regional and local interest.

The first librarian, hired in 2008, was experienced in the Gulf region and concentrated Herculean efforts on building respectable book (print and electronic) and video (physical and online) collections to support the curriculum, especially the major programs of communication and journalism. Currently there are nearly 30,000 physical items in the NU-Q collection. In addition, all Evanston-subscribed databases and electronic books are available to the NU-Q community, which greatly extends the collection and accounts for the vast majority of resources available at NU-Q.

A core premise and promise of NU-Q is to provide an equivalent, though adapted for local norms and needs, education experience to that in Evanston. This does not mean everything—such as all courses offered—is duplicated in Doha, but the promise of equality is kept in mind as initiatives are conceived, planned, and implemented. Admissions requirements are to be the same as the home campus and a degree earned at NU-Q is the same degree earned at the home campus.¹

Teaching, learning, and the undergraduate experience at NU-Q are priorities and have been since the campus was established. Recently, expectations for original, innovative research output by faculty, as well as the students, have increased. This need to support research has always existed, but the increased emphasis on research requires supplementing local NU-Q collections through resource-sharing programs such as interlibrary loan. The philosophy of equal experience and education underpins the approach of offering ILL and other services to the faculty, staff, and students of NU-Q as the library supports the campus mission and work. This goal has been met to some degree and vast improvements related to better-integrated discovery and requesting are on the horizon. This is a case study of interlibrary loan and document delivery of materials from the collections of Northwestern University’s Evanston and Chicago campus libraries, other U.S. libraries, and other Education City libraries.

Getting Started with ILL Support from the Home Campus

Not surprising, ILL services at NU-Q and how they are used have evolved. This evolution continues as both the campus and the library transition from start-up project mode, characterized by on-the-fly decisions and actions, to employing more professional, consistent established services and operations. When NU-Q and the library opened, interlibrary loan was not a top priority. Collections building, establishing processes and procedures for services—such as reserves and circulation—acquisitions activities, the hiring and training of personnel were em-
phasized. The staff was, and remains, quite small. It is a testament to their amazing commitment that so much was accomplished locally and they were able to launch a substantive suite of user services so soon after being established. In library functional areas, NU-Q library staff worked with the University Library staff to learn NU processes and policies. The NU-Q staff then adapted the services and processes to meet local needs with the resources they had available. The NU-Q staff was then ultimately responsible for further developing and providing those services with some support from Evanston.

Interlibrary loan developed slightly differently than other services and functions. It was decided from the start that staff based in Evanston would process ILL requests submitted by and on behalf of NU-Q users. The procedures were developed collaboratively between Evanston ILL staff and the then library director in Doha. The decision to have Evanston-based staff do the requesting and management of requests was based on several sound reasons—including that borrowing processing is not geographically dependent in a networked environment using a management system such as ILLiad; the Evanston staff had necessary expertise and experience; this was the practice of at least one other EC branch campus library; limited staff in Qatar; and Evanston University Library staff’s experience processing requests for other branch libraries. It also made sense to absorb NU-Q Library requests into the workflow of the University Library ILL operations in Evanston since it was certain to be low volume, especially to start. It should be noted that while processing and requests are made by staff in Evanston, Doha-based staff are involved with and have critical roles in ILL for their users. For example, the staff in Doha communicate the possibilities and parameters of the service as they instruct the community as to how to make requests. They are responsible for notification of availability when the items arrive. They also ensure materials are returned by users and sent back promptly to the home campus. ILL services for the NU-Q community is a true partnership between staffs in the U.S. and Qatar.

While this partnership between staffs works well, there have been challenges, especially in the beginning. One challenge was that no one on the very small staff at NU-Q had any experience with providing ILL. This led to some misunderstandings about expectations of turnaround time and service policies and procedures. Early on, the library in Doha had considerable turnover of the position responsible for communicating with the University Library regarding ILL and for submitting requests on behalf of NU-Q users. As trite as it is, the importance of open communication and associated outcomes cannot be stressed enough when working in a service. Ongoing discussions between the staff on both sides of the globe responsible for this service and support were particularly key at the beginning. They continue to be vital as procedures and resource-sharing relationships change and overall service improves. Staff in Evanston must remember how changes in ILL affect Qatar-based staff and users and ask for input, then follow up as the changes
are implemented. It is incumbent upon Qatar staff to express their needs as well as they can. Both staffs need to be flexible and willing to adjust procedures and processes. The willingness to compromise at times has been important. The needs in Doha cannot be ignored, but they also cannot be the sole drivers in making operational and workflow decisions affecting the significantly larger user population in Evanston and Chicago.

Another reason to choose this approach is the uncertainty about the willingness of U.S. libraries to lend to a library in Qatar given the high cost of and the requirements for shipping (associated documents required, etc.) from the United States. This assumption may have been unfounded as surveys of international ILL from 2007 and 2011 suggest that a majority of U.S. libraries were borrowing and lending internationally. On the other hand, it could have held true as borrowers did not tend to be in the Middle East and in fact regional neighboring countries were cited by responding libraries as countries to which they would not lend.2

Using the University Library as the requesting library naturally opened up access—without needing to pay or manage transaction fees—to the wealth of resources of Northwestern’s primary consortial partners of the Committee on Institutional Cooperation (CIC) and Illinois libraries. It was also thought most print books would originate from Northwestern collections, so it would be efficient to simply convert requests to Document Delivery requests within the ILLiad management software. Because of the academic programs to be taught at NU-Q and the fact that the curriculum was in English, it was decided not to tap into Middle Eastern interlibrary loan programs. As H.E. Sheikh Abdullah bin Ali Al-Thani indicated when the campus was announced, there were no journalism and communications programs of the same caliber in the region.3 It therefore makes sense that there were no regional, English-language collections from which to borrow.

### A Portrait of ILL from the U.S. to NU-Q

At NU-Q, the first library director smartly used requests as a collection development tool. This meant requests for materials were submitted to the library staff (initially one librarian and one library assistant) so they could assess whether it was best to borrow or purchase the requested item for the local collection. This approach was used almost exclusively for the first two years of operation when the physical collection numbered between 5,000 and 10,000 items. Faculty with ILL experience in Evanston continued to use their accounts and simply changed the pickup location to Qatar, but these accounted for very few requests. At the start of offering ILL services, most requests were mediated by NU-Q staff that submitted the requests for processing to the University Library through a departmental account. The review and mediation went beyond bibliographic
verification and was smartly used as a collection-building tool for the library’s primary disciplines and many requests were turned into purchases rather than temporary ILL loans.

Unfortunately, there is a lack of early data related to ILL at NU-Q. However, beginning with July 1, 2010, data about interlibrary services to the Doha campus by the staff at the University Library are available and reliable. Given the relatively small population, it is not surprising the requests annually, for articles and books, number in just the low to mid hundreds. The highest volume in a fiscal year, for which numbers are available, was 2012–2013, wherein 603 total requests were placed for materials to be scanned for sending electronically and for books to be physically sent to Doha.

**What is Borrowed from Where**

It was decided to not borrow video materials from the home campus or other libraries in the U.S. due to concerns that some titles, upon import review by the Ministry of Culture, Arts, and Heritage, would be determined inconsistent with local laws and regulations and not allowed into the country. Further, it was thought that those titles would not be returned to U.S. lending libraries. Therefore, ILL and document delivery efforts are made exclusively for articles, book chapters, and monographs. Annually, there are fewer requests in Evanston for scans of articles and book chapters than for returnable items like books. This is likely due to access to electronic resources including extensive back files of journals provided by the University Library in Evanston and by Northwestern’s law and medical libraries in Chicago. This is logical and consistent with the percentage of articles requested in Evanston for the home-campus community. As for books, an analysis of requests shows that publication dates matter. Books no longer in print or unavailable as an electronic book that are already owned or easily ordered are likely candidates for borrowing.

At the start of ILL/Document Delivery service to the new campus and before examining available data, it was assumed the materials sent (physically or digitally) to NU-Q by Evanston staff would be almost exclusively sourced from Northwestern University collections. While it is true that most of the books sent to Doha are from Northwestern collections, it is not true that they are an overwhelming majority of books borrowed. For materials not sent from NU collections, the primary consortial partners of Northwestern are the majority suppliers for books sent to NU-Q, as they are for Northwestern users in Evanston. In fact, for fiscal year (FY) 2014, materials not obtained from within Northwestern but supplied by CIC libraries was about 80 percent, which is in line with the percentage of materials obtained for Evanston users from CIC libraries. This is not unexpected, but worth noting as it demonstrates how this approach opens up consortial supplies to the branch campus.
### Table 3.1. Percentage of materials obtained from Northwestern Libraries, CIC Libraries, and other U.S. Libraries. Percentage of material types requested annually and the percentage of requests mediated by staff in Qatar.

<table>
<thead>
<tr>
<th></th>
<th>From NU Libraries (%)</th>
<th>From CIC Libraries (%)</th>
<th>From Other U.S. Libraries (%)</th>
<th>Books (%)</th>
<th>Article or Book Chapter Scans (%)</th>
<th>Mediated (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY 2015</td>
<td>55</td>
<td>35</td>
<td>10</td>
<td>95</td>
<td>5</td>
<td>11.5</td>
</tr>
<tr>
<td>FY 2014</td>
<td>57</td>
<td>35</td>
<td>8</td>
<td>72</td>
<td>28</td>
<td>31</td>
</tr>
<tr>
<td>FY 2013</td>
<td>46</td>
<td>40</td>
<td>14</td>
<td>75</td>
<td>25</td>
<td>51</td>
</tr>
<tr>
<td>FY 2012</td>
<td>49</td>
<td>40</td>
<td>11</td>
<td>78</td>
<td>22</td>
<td>63</td>
</tr>
<tr>
<td>FY 2011</td>
<td>52</td>
<td>32</td>
<td>16</td>
<td>90</td>
<td>10</td>
<td>64</td>
</tr>
</tbody>
</table>

When it was known Northwestern would be brokering ILL services on behalf of the Doha campus, the CIC directors of ILL were told in a face-to-face meeting with the assurance of the best possible, tracked shipping to be paid for by Northwestern. It is amazing that not one person raised concerns, but embraced this expansion of international resource sharing and trusted that the materials would be taken care of. Perhaps this is a testament to the growing willingness of libraries to lend materials overseas. It is further proof of the trust inherent to the best resource sharing consortia and that this trust leads to the most generous of lending practices to the benefit of borrowers. This also underscores that having processing done by Evanston staff was the correct approach to take so NU-Q users would benefit from the trust and generosity of this strong, go-to consortium.

### Requesters and Borrowers

In the earliest days of library services, ILL was used almost exclusively for obtaining materials for teaching faculty and librarians and other staff for professional development. Requests were also made for leisure materials, which, at the time, were not easily accessible in Doha. Administrative staff users from other areas of the campus and students generally did not obtain materials through ILL. Students now use ILL to borrow materials from the U.S. as well as from other EC libraries to gain access to materials for their research and information needs, but students are still a very small percentage (about five) of the ILL user population. More students take advantage of the local ILL within EC, even identifying which library owns a needed title before submitting a request.

As mentioned (Table 3.1), historically staff in Doha mediated a majority of requests. This is no longer the case as the information seekers became more independent and realized the benefit (i.e., often significantly faster turnaround time).
of making requests themselves. It is also the case that staff is more stable and more knowledgeable in ILL and confident in their ability to promote its use. Significant progress has been made in terms of fewer requests being mediated; the most recent data available reveal that 11 percent of requests were mediated as opposed to 64 percent in FY 2011 and 30 percent in FY 2014. It may seem odd in 2015 to have so many mediated requests, but enough barriers to seamless discovery and fulfillment remain; it is sometimes difficult for a user to see that there may be benefit to submitting requests directly. Significant improvements to the requesting system—including integration with UBorrow, the CIC consortial discovery and requesting tool—are on the immediate horizon due to a migration to the Alma library services platform. Once that migration is complete, 100 percent of requests are expected to be unmediated by Doha staff. The drawback is losing initial requests as collection development tools, but the benefit for users is the convenience of integrated discovery and requesting. Staff in Doha will continue to be promoters and teachers of ILL and responsible for considerable user communication to ensure materials are returned safely and on time.

An informal survey of other branch libraries of U.S. universities offering programs in EC reveals that the Northwestern approach is consistent with ILL service procedures offered elsewhere in EC and this indication may almost be considered a best practice for this type of campus. The balance of where materials are sourced, where processing is done, the extent that Doha staff review all requests, and the tendency to borrow versus buy vary, but the basic strategies are the same. There is most variance if the home campus borrows outside its system for users in Doha—this is not always done by the other libraries, though for Northwestern this is standard.

Near Future Developments in ILL from the U.S. to NU-Q

Due to deficiencies in integration of current discovery and fulfillment systems, there is a complex ILL landscape being simplified for NU-Q users. The first step toward this simplification is to make requesting materials from the Evanston campus easier with the 2015 implementation of the library services platform Alma. In the current system, there is no way to enable requesting for Qatar-based users for materials in Evanston without enabling requesting for Qatar resources for users in Evanston and Chicago. Since nearly everything in the NU-Q library is available in U.S. libraries, it would not be cost-effective to send materials from Doha. However, with the new system it will be possible for users to request materials from Evanston and Chicago without reciprocating. This should make unmediated requesting far easier to explain and use. It is not intuitive for users to understand that we encourage them, especially for book request needs, to search WorldCat.org, which
connects to their ILLiad account, and make requests through that external system. Since there will be seamless integration with other systems, NU-Q users will also be able to request materials identified through WorldCat and UBorrow, the consortial search and request system of CIC. This will mean that a user or the library staff educating a user how to make an ILL request will no longer need to be even remotely concerned as to which library in the U.S. (including NU libraries) owns something.

Once the new system is in place, NU-Q users will also benefit from the adoption of NISO Circulation Interchange Protocol (NCIP). All materials checked out to the user—whether from the Qatar Library, University Library in Evanston, or another U.S. library—will be listed together in the user’s Alma account. This is exciting in terms of improving ILL and basic circulation services, but perhaps is more exciting as a demonstration of how a small campus, by working closely with and as part of the home campus, can benefit from the innovations possible through the larger library partnership.

**ILL and Resource Sharing within Education City**

The libraries of Qatar Foundation institutions, particularly those affiliated with U.S. universities, make up a natural pool of interlibrary lending and borrowing partners and have been providing loans to each other for at least a decade. There is agreement among the directors and staff of these libraries that ILL services from U.S. libraries and home campuses will likely decrease in the next five years. There is also agreement among these same people that ILL and resource sharing among the EC institutions and other libraries in Qatar will increase in the next five years.

Volume is currently quite low, but the service is valuable for those who need resources obtained this way. It can be very fast in terms of getting a needed resource into the hands of a user, sometimes even the same day the request is made. The practice is guided by a memorandum of understanding, revised September 2014, which outlines the minimum standard policies and procedures for ILL among post-secondary education libraries under the aegis of the Qatar Foundation. Having such a memorandum ensures a tool for training and a common understanding among libraries as to how to accept and respond to requests. It is up to each library to figure out the best way to manage and track requests, and to ensure materials are picked up and returned to the lending library.

While the libraries are in close proximity, there are challenges beyond geography to growing ILL-usage. The number of volumes available poses a challenge as there are currently fewer than 200,000 volumes available for borrowing and lending within EC/QF libraries. The nature of the individual collections also provides a challenge to ILL. As is the case of the NU-Q library, each branch campus library
Taking Interlibrary Loan Abroad

in EC has especially deep and broad collections in particular subject areas. These reflect the disciplines that brought those campuses, and therefore the libraries, to EC in the first place. For example, Virginia Commonwealth University in Qatar has fantastically rich collections in art, design, and art history. Texas A&M University in Qatar specializes in engineering resources. Carnegie Mellon University in Qatar has superior holdings in computer science and business. Each library has some liberal arts coverage—which is fairly strong in the library collection of Georgetown University School of Foreign Service in Qatar—but not what one would expect in an academic or research library in the United States. Fortunately, the Qatar National Library (QNL) will help bridge this gap. When it opens it is expected to provide at least 300,000 titles—available to our users through ILL or universal borrowing—that will support liberal arts and other areas of studies not covered by the universities’ specializations. This will be an amazing asset to NU-Q moving forward.

Other challenges are likely similar in other regions where multiple U.S. (and other university) libraries are operating, though these challenges are not necessarily unique to libraries abroad. Perhaps the biggest challenge for discovery is the lack of a local union catalog that can be searched at once. A workaround, such as using WorldCat to search the holdings of the U.S. libraries in Qatar, is not viable as not all of the libraries indicate separate OCLC holdings for branch campuses.

Lastly, there is inconsistency in how requests are made to lending libraries and how those requests are managed. Generally, requests are made through email rather than through something like OCLC WorldShare. This adds to the burden of the requesting library when seeking materials from within EC.

A Bright Future for ILL and Resource Sharing in EC

Fortunately, there are some exciting resource sharing and ILL initiatives on the horizon that will better provide materials to the user community. Much of the optimism for the future of ILL within EC is due to the fact that the Qatar National Library will soon be open as a physical location with an anticipated 250,000-volume (at least) collection. Currently, QNL operates information services and database access; given their success with those endeavors, there is reason to expect success in the area of resource sharing and its role in improvement in EC. QNL is difficult to encapsulate as it is such a multi-purpose enterprise, serving the State of Qatar in various dimensions. Serving as a university and research library fulfills just one of many goals of its ambitious mission. More information about QNL, its activities, and mission can be found at its website: http://www.qnl.qa/.

The QNL staff has already begun planning and exploring what increased ILL and resource sharing should look like and what the EC needs are. In early 2015,
the EC library directors established an Access Services Working Group to review, analyze, and make recommendations about various activities that fall under resource sharing, including interlibrary loan and universal borrowing. The work of this group is expected to result in recommendations for a courier service/delivery option among QF libraries, universal reciprocal borrowing for affiliated users, and other exciting improvements such as more generous loan periods. It would also be surprising if a recommendation to promote and further expand lending to non-QF institution libraries is not made by this group.

Some Areas of Consideration for ILL at a Global Branch Campus

Now that the NU-Q campus has been operating since 2008 and offering ILL services since the beginning, it is possible to review the experience to suggest best practices in providing ILL services at a global branch campus:

- **Single Point Person(s).** Where possible, designate a primary point person in the home campus library as well as the branch library to offer continuity and to build knowledge of the requests, user needs, and any variance required in this service versus lending services to other libraries. It has been particularly beneficial that the same staff person in Evanston has been responsible for ILL and document delivery services to NU-Q since the beginning. She has worked with NU-Q staff well and has grown a keen understanding of the processes and needs of NU-Q. She has been responsible for many service improvements. This was perhaps even more significant due to the higher rate of turnover at NU-Q, especially in its first few years. In addition to the point person, all satellite campus staff need to be well versed with the practices, policies, workflow, and philosophy of the home campus and their ILL service, if that is where processing will occur.

- **Shipping.** The best, fastest, most secure shipping the budget can support should be used. This allows users on the other side of the world to receive the type of service local users expect and also ensures suppliers—especially those outside the library system—get their materials back consistently and reliably. Familiarity with shipping and customs requirements is also key to ensure protection of materials and prompt delivery.

- **Discovery and requesting.** Make this as simple as possible even if it means mediating requests. It may also mean educating users, or figuring out ways to use systems for purposes for which they were not originally designed, and then educating users on those. One example is encouraging the use of WorldCat.org to connect to ILLiad and make requests from home campus.
• **Manage user expectations.** For article and book chapter scans, the turnaround time will generally match that of the home campus users unless time zone and varied workweek factor in, as they do in the case of NU-Q. It may be necessary for branch campus staff to remind users that shipping time may add a day or two to the receiving of a book request due to a difference in workweek. While communicating these cautions, accentuate the wonders and positive outcomes of ILL.

• **Keep improving.** As in most institutional and corporate settings, in today’s libraries and universities, it is critical to be continuously scanning the environment looking for different and improved ways of delivering services and resources. This holds true—and may well be magnified—in the American branch campus operating in a different country. Some improvements may come from conversations between the staffs at the two libraries through steady communication about needs and changes in both libraries.

• **Look locally and regionally.** As part of constant environmental scanning, especially as other universities establish a presence globally, the branch library should work to identify libraries that may be logical ILL partners in their city, region, or country. This is something NU-Q has not done as well as it might have in the past, but should do better moving forward.

• **Consider buying versus borrowing.** Like many of these considerations, this tension is not unique to global branches but it may be more important or have a different cast than it might for a U.S. academic or research library given factors such as need to build a local collection, time to obtain an item, and shipping costs.

**Conclusion**

Interlibrary loan will likely be a key element of any U.S. academic library operating abroad. Northwestern chose to rely heavily on the existing ILL operations of its home campus for reasons that may or may not be applicable to other situations. Each context and environment of a U.S. university operating abroad will need to be considered in the planning and execution of ILL and other resource-sharing services. Some universities may have natural local partners with which to extend resources through ILL and consortial borrowing, while others may need to rely solely on their home campus and its relationships for procuring materials beyond the collection. Yet others may be like Northwestern, a hybrid system in which priorities will shift over time given the changing circumstances and swift development in the area of global education. With improvements such as better systems integration on the immediate horizon at Northwestern, the library can help keep the promise of providing an experience equal to the experience in Evanston to the community of Northwestern University in Qatar.


**Biography**

**Beth E. Clausen** is Library Director at Northwestern University in Qatar. Previously Head of Access Services at Northwestern University in Evanston, she established and grew the initial ILL services for NU-Q. She has also served as Head of Government Information and as Federal Documents Librarian at Northwestern. Before joining Northwestern University Library in 2000, she was a reference librarian at the University of Northern Iowa and the University of Southern Mississippi. She earned her MA in Library and Information Science from the University of Iowa.
As New York University (NYU) recently opened two new campuses in Abu Dhabi, United Arab Emirates, and Shanghai, China, academic technology services at both locations were launched to support faculty and student curricular and research needs. Consciously situated within the university library, these teams are constantly evolving to support the needs of their start-up campuses. As part of the Global Network University, local requirements must be balanced with the needs of the larger organization. Regular communication with administrators, faculty, and students is essential in making sure adequate staffing and services are in place to provide the academic technology support required of these two campuses. An entrepreneurial spirit and a high degree of flexibility and responsiveness are important traits for delivering effective technology services as well. In this piece, there are six questions posed for the academic technology teams in Abu Dhabi and Shanghai.

Can you start off by talking about the Academic Technology (AT) environments at New York University Abu Dhabi and NYU Shanghai: How did the services come into being and what are their mission and focus?
At New York University Abu Dhabi, the AT department became embedded within the library early on by the conscious decision of library leadership. Initially, the department consisted of a small group of technologists and one librarian at the temporary campus space. This team served the faculty, students, and staff in their use of technology in the curriculum and research by providing support for the campus learning management system (LMS)—formerly Blackboard but now Sakai—procuring software for academic use, maintaining public access computers in the library, and circulating specialized equipment such as digital cameras, laptops, and video equipment. There was an agreement upon startup between the university’s Information Technology (IT) department and the AT team that our group would support “above the line” services defined as any forward, client-facing technology needs as mentioned above, while IT would support “below the line” infrastructure needs such as network connectivity and installation of classroom technology. Because of this, there has never been any confusion about the division of campus technology support. Each group is able to focus on providing their core set of services, working within their respective budgets and personnel capabilities.

In 2014, the New York University Abu Dhabi Library would move to its permanent campus on Saadiyat Island. Early in the planning stages, a space was envisioned called the Faculty Resource Center (FRC). This was viewed as an alternative solution to supporting New York University Abu Dhabi faculty with services normally provided by teaching assistants. This would be done primarily in the form of helping faculty build out their course websites, hosted through the university’s LMS, by integrating library resources within the system. During the course of planning for the FRC, we realized that we wanted the mission and scope to be much broader and innovative than initially considered. Since the FRC fell under the umbrella of the AT team, it made sense that the space should also be used to assist faculty with their wider technology needs as they relate to teaching and research. Over time, the mission of the FRC became clearer and evolved into supporting faculty in their use of enterprise technology systems such as the university’s streaming media service, NYU Stream, Google Apps for Education, and WordPress, our hosted web publishing system.

Outreach in the form of programming and workshops around digital tools became a top priority, as did supporting faculty with any short and long-term scholarship and research needs involving technology, including data services and storage, building blogs and websites to feature their research, and helping them launch research projects by connecting them with various departments and resources across campus. The space was renamed the Center for Digital Scholarship (CDS) to reflect the new set of services.
When the Saadiyat campus first opened, there was an IT client services help desk located within the same Campus Center building on a different floor in addition to the AT team’s presence in the library at their own service desk. This IT client help desk served as a walk-in destination for faculty, students, and staff to seek help with computing problems such as network connectivity and hardware malfunctions. Shortly after the move to the new campus, it became clear to university leadership that it would benefit everyone to have one single destination for all computing and technology needs. It was decided that the IT service desk would join the AT desk in the library. The new Campus Technology Center (CTC) within the New York University Abu Dhabi Library provides a single service point for all computing needs across campus. With the CTC and the CDS in place, a natural division of services has emerged, with the CDS offering more specialized technology assistance for faculty as it relates to digital scholarship and the CTC assisting users with basic operational needs.

Opening a few years after New York University Abu Dhabi, New York University in Shanghai launched the Academic Technology Services (ATS) department which was conceived as three service teams: computing, classroom media, and faculty technology. The computing team supports library IT needs, library computer labs, and a digital media center. The classroom media team supports classroom presentation technology. The faculty technology team supports faculty and student use of technology in the curriculum and will eventually develop to support a digital humanities program. The overall model follows practice at New York University Abu Dhabi while also incorporating elements of NYU New York’s Information Technology Services department structure.

ATS was to launch in September 2014 to coincide with the opening of a dedicated building in the Pudong district of Shanghai. However, at the urging of our local partners, NYU Shanghai actually opened in September 2013 with a temporary space in three buildings on the campus of East China Normal University (ECNU), the Chinese university partner of NYU. ATS consisted of a single staff member, augmented for a few weeks prior to opening by a staff member from the NYUAD campus. Due to the early opening all technology services were staffed thinly, but IT was in better shape with several contract staff to provide first-tier support, as well as three directors and managers to lead strategy, infrastructure, and client services. In the first year of operation, nearly all ATS functions were actually staffed and managed by the NYU Shanghai IT department. During that first year, ATS focused on preparing the new Pudong academic building for teaching and learning activities to begin in September 2014.
With the opening of the academic building, ATS undertook support for library technology, classroom presentation technology, classroom computing (added in Spring 2015), teaching and learning technology, and technology-enhanced educational initiatives such as experimental and innovative courses. ATS also coordinated computing support for research, electronic textbook services (as NYU Shanghai is predominantly digital), academic software licensing, enterprise technology systems such as NYU Classes, NYU Web Publishing, NYU Stream, and a host of other services. The first year in the Pudong academic building was the second year of operation for NYU Shanghai, thus service expectations were high, especially with respect to support for teaching and learning. Those expectations drove much of the service expansion and direction in the second year, with many of the services and support offered at New York University Abu Dhabi used as templates for similar offerings at NYU Shanghai.

**It seems like assembling an effective team has been really central to your efforts. Can you discuss how you have built the team?**

From the beginning there have been two parts to assembling an effective team at New York University Abu Dhabi: organizational planning followed by hiring strategies that work towards these plans. Since the opening of the university, we have had a clear understanding of the mandate of the AT team and its placement within the organization reporting to the Provost. We knew that our mission is to support the curricular and academic needs of the university and not the operational needs for which IT is responsible. This allows us to have a very clear hiring strategy to focus on our specialized needs. We also knew the approximate number of students and faculty we would be serving on day one and then each year after, which helped us to plan for scaling our staff respectively. We could start with a smaller team and then hire each year to meet increasing needs, pending staffing budgetary allocations.

In hiring our core team, we look for individuals who are comfortable with ambiguity. We view this as an essential trait given our startup existence where there are not always ready answers and academic needs are constantly changing. Since we had such a small group to begin with, it was important that we hire people with an entrepreneurial attitude, people that are willing to do whatever it takes to get the job done, regardless of whether or not it is actually part of their job description. It is not uncommon for a member of our team to learn a new skill as needed, whether it is software they have never used before or a new piece of equipment requested by faculty, in order to provide support around these new technologies.
Beyond year one, we increased staff in conjunction with the growth of student enrollment and faculty recruitment. Between years one and two, we had a 50 percent increase in population and we dealt with significant increases each following year. We went through four distinct cycles of growth as we brought new students onboard and encountered various needs from these new populations. For example, freshman technology needs differ from the activities of seniors, as we learned when we were asked to archive senior capstone projects. We had never dealt with this task before and had to work quickly to develop a workflow and infrastructure to meet this new requirement.

The NYU Shanghai organizational planning was driven by library leadership in New York and was informed by strategic planning for the Global Network University (GNU) library and the New York University Abu Dhabi experience. Staffing plans called for a mix of Chinese and international hires over two years. Both international and local recruitment has been challenging for several reasons, including high housing costs in Shanghai, travel distance from family for relocated expats, and the need for staff to possess both the required technical skills and high proficiency in English. Additionally, competition for staff from the for-profit sector is fierce in the region. Recruitment of Chinese students returning home from U.S. graduate programs has met with some success.

**What do you think the challenges and benefits of collaboration between the three portals campuses have been?**

One of the major challenges in a network university like NYU is balancing local needs versus global requirements. While it can be beneficial in many ways to use the same systems, tools, and technologies across all university locations (the university LMS being a good example), each campus has its own distinct set of needs, complexities, mandates, and funding levels that sometimes necessitate unique solutions. Determining when to implement a local solution versus a global one is not always clear. For example, it makes sense to use the same LMS across campuses, but building an infrastructure for data storage has to take local requirements into consideration while also considering the need for global connectivity among faculty and students.

Other challenges to working collaboratively across the global network university are more logistical. Communication across campuses can be difficult given the difference in time zones. For example, the Shanghai campus does not share any working hours with the New York campus, so trying to connect in meetings or even reach someone via email within your own workday is not always possible. Despite best efforts to connect virtually with tools like Skype, varying network capabilities
can sometimes cause problems for online meetings when calls are dropped or the connection is deficient.

In spite of the challenges, there are several benefits that collaboration across portal campuses provides. Staff from the Abu Dhabi and Shanghai campuses sit on committees in New York to ensure that there is local representation and a voice for their own university constituents. In doing so, we foster relationships among staff members across campuses as we all work towards common goals. This interpersonal communication has proved incredibly useful since it puts a friendly face to the person we might be emailing about a troublesome issue down the road. These personal connections among staff members are crucial to building effective team[s] and smooth operation[s], making collaboration among international colleagues a high priority at all campuses.

There are financial and logistical benefits of collaboration as well. Sharing applications globally allows users to have a seamless technology experience when moving between campuses and sites. A professor teaching in Shanghai is using the same LMS as her colleagues in New York, as are the students, thus there is no need to re-learn a new system at each location. The libraries acquisition of e-books is another area of successful sharing and collaboration across the university. These resources are available to all of our international users, regardless of their location, since they are not bound by a physical shelf location. We are also able to leverage NYU’s global reach when negotiating licenses for software. Instead of having three site licenses for a software program, we are often able to have a standard global license that all three campuses contribute to financially.

**Can you talk about the kinds of hardware and software that you have chosen to acquire, how you made those decisions, and any challenges you have seen in your approach?**

In acquiring software and equipment at New York University Abu Dhabi and NYU Shanghai, we choose what is directly related to research and curricular needs. We regularly speak to deans, faculty, and students and even review syllabi each semester to determine exactly what is needed for teaching and research and then select products accordingly. We try to ensure that we have licensing in place to support whatever the disciplines need in time for the beginning of the semester, and then we try to obtain global licensing when it is recognized that everyone in the Global Network University could use it. Our team often consults with the New York IT department to see if there are NYU pricing structures in place for larger software packages such as Adobe Creative Cloud or MatLab. We coordinate local licenses for smaller, niche, software that will mostly be used by our own students and faculty for specific courses.
While our services and equipment are often modeled after those offered in New York, at New York University Abu Dhabi we offer services and equipment outside the norm due to locational constraints and what might be available (or not) locally. For example, a student in New York who needs photos printed for a class project, or a faculty member who requires a large poster printed for a presentation, have numerous places to find services like these at the local copy or print shop in New York. Here in Abu Dhabi we do not always have shops offering these specific types of services, so the AT team often fills the gaps where we can by providing them in the CDS or CTC. In turn, this allows us to market ourselves beyond traditional expectations, hopefully driving more traffic into our spaces.

Additional challenges extend to procuring supplies. It can sometimes prove difficult to find the supplies or equipment we need here in Abu Dhabi, since these require an international shipping and related costs. We have to plan far in advance to make sure we have what we need to support our services. However, given the rapid expansion of both New York University Abu Dhabi and NYU Shanghai, and the startup environment in which we exist, we have had to remain extremely flexible in the hardware and software that we procure as well as the services that we offer. If a new major is suddenly announced, we must be able to respond to those needs quickly. Given these challenges, we might struggle to support our users if we do not know about these changes far enough in advance, despite our best efforts to remain informed.

NYU Shanghai faces its own set of unique challenges, including adherence to strict policies regarding competitive bidding and purchasing, which can have far-reaching implications for vendor selection, project timelines, overall program costs, taxation, and budget cycle planning. The campus is very sensitive and responsive to faculty and student needs arising from temporary residence in China. For example, an Apple laptop purchased in the United States cannot be serviced under warranty in China, and purchasing new or replacement technology can be very problematic due to language, financial, and logistical barriers.

Moreover, departmental budgets are not so large that they can purchase enough equipment for all their students. It does not make organizational and financial sense for multiple academic departments to purchase the same equipment. Therefore, the AT team offers a substantial supply of loaner laptops, cameras, microphones, portable hard drives, projectors, and more that students and faculty may use to develop curriculum and complete coursework.
Staff at Abu Dhabi and Shanghai have become a resource and network for each other. Can you give us your perspectives on each other’s situations, and how they have made you think about your own services and how you can best collaborate?

Since New York University Abu Dhabi had already been open for three years prior to the Shanghai campus opening, the NYU Shanghai ATS team was able to draw upon this start-up experience when implementing their own procedures and service models. NYU Shanghai leadership and staff learned and benefited from the many positive outcomes of New York University Abu Dhabi’s opening and were able to avoid any potential missteps that may have occurred along the way. In many ways, New York University Abu Dhabi is a model for Shanghai in that it gives the staff a glimpse of what might also be created there. Ron Berry’s visit to NYU Shanghai from Abu Dhabi proved fruitful in envisioning services in Shanghai, among them unified technology support services with a shared service point, vision, and focus among the New York University Abu Dhabi team.

Collaboration among all campuses is possible when everyone shares the same vision of supporting our students, faculty, and staff. While the support models might be slightly different due to the diversity of our respective student populations, it is clear among the staff that we are there to enable students and faculty in their use of our various enterprise systems. Regardless of location, they will be able to get the help they need with navigating the LMS, receiving instruction in incorporating clickers (or interactive technologies for classroom response system) into the classroom, or any other essential service. Continuous communication between support teams ensures that we are made aware of any new changes to tools or potential launches of new systems so that we can pass this information onto our faculty and students in a timely manner.

Both campuses started with small temporary campuses, but have since moved into larger, permanent spaces. Can you talk about how you plan and adjust to growth in the new facility with additional students, faculty, and staff?

At New York University Abu Dhabi, we had a clear understanding of the plan for the university in terms of the maximum number of students and faculty we would eventually need to support. The goal is to have 2500 students enrolled at maturity, including graduate and undergraduate students. As a result, the university was able to build a new facility to support us at peak enrollment, including proper seating capacity, an appropriate number of service points, classrooms, adequate
audio-visual services, and IT infrastructure across campus. In Shanghai, there is a similar understanding of the eventual student population. However, the total number of people who will be engaged in teaching, learning, and research is not yet clear.

At both campuses, the AT teams understand the importance of staying in touch with the deans to know where the curriculum may be heading in order to be able to respond to changes in a timely manner. Since both campuses are still maturing, it is possible that new majors may be added, old ones revised, and new areas of research developed. Both teams have to remain flexible in their approach to emerging technology service needs while also being comfortable with the unknown. The future of our campuses are, in large part, a function of how well we provide services to enable the growth that we want to see, making it essential to align our growth as best we can to support the goals and visions of the university as expressed by the Provost and senior administrative leadership.

Biographies

Ron Berry is Associate Director for Library and Academic Technology at New York University Abu Dhabi. He was formerly employed at Grand Valley State University as Associate Dean and the American University of Sharjah as Associate University Librarian. He earned his MA in Library and Information Science from the University of British Columbia.

Brian Lewis is Associate Director of the Library and Director for Academic Technology Services at NYU Shanghai. Brian manages a team of technology specialists supporting teaching and learning activities at the university.

Beth Russell is Head of the Center for Digital Scholarship at New York University Abu Dhabi and is responsible for daily operations and long-term strategic planning in the CDS. She manages a space and supervises staff dedicated to supporting the library and the curricular and research technology needs of faculty and advanced researchers while developing, promoting, and managing digital scholarship programs and initiatives in partnership with faculty interests.
SECTION 3: Building Collections Abroad Collaboratively
chapter five

Licensing Electronic Resources in the Global Environment: A Conversation

Angela Carreño and Bill Maltarich
As interviewed by Scott Collard

Introduction

The following is an edited conversation with Angela Carreño, Head of Collections, New York University Division of Libraries; Bill Maltarich, Librarian for Collection Management, New York University Division of Libraries; and Scott Collard (interviewer), Head of Social Sciences, NYU Libraries.

When NYU announced its intention to open global campuses and to provide a research environment comparable to that found at the Washington Square campus in New York City, Angela and Bill were tasked with understanding the ramifications of such a project on electronic collections in particular. Revising licensing agreements with vendors, helping them understand how NYU envisioned this networked campus, and implementing the shared NYU approach all fell to them. In this interview they discuss the details of their approach, what they encountered, and some of the important areas of focus for others seeking to create a more unified licensing environment for dispersed campuses.

Scott Collard: Angela and Bill, I’d like you to take us back to the time when you first heard about NYU’s plans to go global as a networked university
and the desire that NYU expressed to have equal or similar access to materials across the global university. What were your first thoughts about how that process would look and what did you think the challenges and issues might be?

Angela Carreño: When I first heard that we were going to have a global campus, I immediately thought that we had two advantages. One was that NYU already had a main library that pulled together all disciplines, so we were already in a routine of licensing NYU wide. And for the few libraries that fell outside of that—divisional libraries, the law library, and the medical library—we already had a routine of licensing jointly and thinking of NYU as a single site. The other practice that helped a lot was to have a centralized payment routine for electronic resources and ways to handle shared payments. Both practices we were able to take and apply to how we were going to approach the global site.

The other thing, that was obvious to us pretty far in advance, was the need to talk to vendors and give them time to think about the impact on the market of having global campuses and give us some sense of what the budget impact was going to be. The vendors needed that and the Dean of Libraries needed it, because we definitely wanted to make a budget proposal that recognized believable and responsible budgets that tied in with this transition. The two sort of work together, because in order to make it believable and reasonable we had to have some sense from the vendors what the impact was going to be.

Bill Maltarich: I remember the first thing was that question, “What is it going to cost the libraries to do this?” Then we thought, well, the best course of action is to try to talk to one vendor first—one who we have some clout with and a good relationship with and spend a lot of money with—and try to set a precedent for the pricing that would make sense. So you could go to publisher B and say, “Well, I just talked to publisher A and they said for the first five years don’t worry about it.” You could say, “Well, I’m surprised you are going to try to charge us because these giant places have said don’t worry for a while.” We didn’t quite put it that way, but that was the strategy.

Angela: You started talking to them before anything existed. When they said, “Well, what’s the student body?” I had to speculate. Planning tells me that this place is going to grow organically over time. I don’t know how long it’ll take, but eventually there will be 2,500 students. In year one, we think we are going to have a class of 200. That 200 is going to be it, in year one.

We knew when we got started that it was going to be an undergraduate liberal arts education. That’s significant because vendors want to know what kind of level of
research is going to be going on in any relevant discipline that ties in with their product. Being able to say that it’s undergraduate education, primarily, and liberal arts focus, helped them think through their marketing path.

Combined with that, I had to explain to them that faculty are going to rotate from the Washington Square campus and spend time there teaching—and there would be some local hires—so faculty permanently at the site. That combination of faculty received a promise that the research environment would come pretty close to what you had on the Square. We felt like we have to do it because we made a promise to the faculty that teach there. So we’re just going to try to open up everything.

Bill: I think one of the things we thought through was, right now, we license everything for everybody. How do we continue that? The reasoning was it’s so much easier to know you do the same thing for everything, than to say for these kinds of things you have access in one spot and for the others you don’t, and so we told vendors that too.

Angela: Yeah. Vendors understand the workflow and process that goes into the management of electronic resources, and how you want to streamline that whole process, and make the administration of electronic resources a clean, straightforward thing. They tend to listen to that sort of reasoning too.

Bill: It’s one of those things where it carries extra weight because it’s true and makes so much sense. “Do you really want to manage 15 percent of your stuff going to different portions of NYU? Because we don’t.” And they say, “Oh, no we don’t either.”

Scott: Let’s say the Dean of my library comes to me and says, “We are going to open a campus internationally.” What are some of the first considerations that come into play as soon as you know you are starting to go this direction?

Angela: Most places will be familiar with the phenomena of the new program being approved on campus without library involvement. And everyone has experienced the “Oops! They didn’t think about the need for library resources when they established the program.” For sure you want to be included in planning for that foreign site or program and you want to have a chance to contribute to budget talks about what it’s going to take. And as I hinted, that has to be backed up with work on assessing what the budget impact is going to be in dialogue with relevant vendors, being able to answer for your Dean, “How did you come up with your estimate?”
Bill: We didn't have to think too much about this, but it seems to me like—fundamentally, at the beginning—you have to say, are we going to manage these e-resources for this spot? We knew we were going to try to do it all as one entity, but it's conceivable that you could sift through all it takes to license for everything, and think, “Well, we need so little stuff over there, why don't we just let them do it. They can have their budget and do what they want.” It wouldn't have worked for us, but that's the first step: how do we work together? Is there a budget and they get their own resources? Or do we try to stretch that money as far as we can by pooling it and saying there's only 50 more people there interested in this thing so it shouldn't cost more?

Scott: What about that process of defining what is what for the vendors? I've heard you guys talk about that: What's a site, what's a campus, etc.?

Angela: We've certainly dealt with foreign sites from the very beginning. I mean as soon as we started licensing electronic content we had to talk about foreign sites. NYU has had several presidents that believed a global experience should be part of an undergraduate education, so consistently we've talked to vendors about the study abroad sites; they were used to that. We had a history of submitting IPs that related to those sites. When Abu Dhabi came up, I think, the dialogue not only was influenced by the fact that we were talking about study abroad sites, but also doing NYU-wide licensing—taking medical and law into consideration with shared payments. We were able to talk about that trend intensifying and that it just fits NYU's philosophy of education.

Scott: But vendors had a different feeling for how growth was going to happen because of these portal campuses where the study-away sites always seemed static?

Angela: We were very transparent. We gave them a timeline of how that student body was going to grow. I gave them as much information as I had about the curriculum. Sometimes they wanted to know what the facility was like, and we had to talk about temporary facilities and planning down the road to move to a permanent facility.

Bill: But all the vendors thought of Abu Dhabi as different. We were able to frame it as, “We've always done this. It's just the next step in doing it.” The idea that there might be some staff in Florence or Prague who are always there, but the students are back and forth—and Abu Dhabi wasn't going to be quite the same. Truly, that it's a campus—as opposed to a study-away site—made a difference to
them. What we tried to do, and probably what I would advise anybody to do, is say, “OK, we realize this is different. This feels different and it makes a difference to you. What about it is different? How will we know when this site or another site hits that trigger point where it’s different and it matters to you?” That way we can plan for it.

So for Shanghai, we had some “This again?” reactions. It would be nice to know when somewhere is going to be a blip on the radar so that you can go to them and tell them more. If everybody understands what matters—what makes a place different—then you can plan and predict and also meet them with that information rather than wait for them to say, “Oh, I saw an article about a Shanghai campus. What can you tell me about that?” Already you’re starting out on a weird foot, right?

Angela: Yeah. You don’t want to be like that.

Bill: No, no, no. It has happened. But it’s because it’s some obscure vendor that you forgot to tell.

Angela: A year after the campus opens, a vendor gets in touch with you, “Hey, what’s this IP?” You say, “Didn’t we talk to you? Sit down. We have to talk to you!”

Scott: Could you guys talk about the idea of the day-one collection and what your planning was to think about starting with a certain collection?

Angela: Day-one was a combination of a core collection and collections to meet specific instructional need, based on syllabi. Core would be like Loeb’s classics. Making sure you have those standard sets that meet a predictable instructional need. That was going to be the print side of the collection when they started out.

For us, starting out, there was a thought that delivery of print from the Square was going to be an acceptable service. For some of the research material that was either difficult to acquire or highly specialized and out of scope, the Square was going to be able to deliver on request. It turned out that that service was very costly. It became apparent that, wherever possible, we should try to transition to electronic, even if it ties into a legacy collection that we have on-hand in print.

In terms of the transition to the e-book, I think the existence of the branch campus forced the Division of Libraries to rethink the transition to the e-book on a faster track than other places. If possible, we should move ahead with prospective collecting that favors that e-version [electronic] over the p-version [print]. It became
even more compelling when it was obvious that you couldn't be sending print over there on an ongoing basis intensively.

Bill: I think, in a way, the fact that we did things the way we did them made day-one on the e-side easy. We wanted everything that we had electronically to be available to Abu Dhabi across the board on day one. We asked ourselves, what did we already have in place? What should we? Is there anything we need to do right away for when they open? And then, is there a change in the way we collect going forward that's going be a change in our collecting policy? That was certainly the realization with the e-book. If we looked at a syllabus and said, “Well, should we buy this in print or should we buy it and get it in electronic?” All of a sudden, it makes sense to buy electronic. It just serves everyone's needs more immediately.

Angela: I would say the approval profile for the day-one collection was set up without great integration with the profile that was set up on the Square. As time passed, we got better at integrating the profiles: thinking more carefully about the duplication in print, thinking more carefully about e-preferred, and being on the same page in terms of what is transitioning to e-only. I think when we got started those profiles just went on separate tracks.

Bill: What's interesting to me is when you talk about day-one stuff—I don't think at either spot were there local e-resources that we had to add as part of their day-one collection. That is, “You can't open a library in Abu Dhabi and not have this.” It didn't really happen; you know? There was no local e-collection that had to be added. I can't imagine that that will always be true everywhere.

Angela: And sometimes they couldn't wait, or it wasn't clear to them what the options were. I can think of two examples offhand where it would have been much smarter to join forces and talk to the vendor and get an add-on fee as part of the NYU license, but they had to go it alone.

Scott: Do you want to talk a little bit more about transparency with vendors?

Angela: You should have a clear sense of what it is you're trying to set up: if it's a separate site with its own budget that's going to do licensing or if you're trying to add the site to your institution's license content. In either case you want to be transparent about what you know about the site, because some of this is built on trust and vendors find things out! You get more accomplished if there's an honest dialogue.
Bill: I think part of it too is that you want to tell them everything they need to know to understand what's going on, and you also want to help them understand it in a way that fits into your plans. They don't always know how to understand your site. Part of being transparent is sitting down and talking through it so that then you both understand. And it makes clear, "What is it?" and "How do we understand it together?" so that you know what future changes will matter.

Angela: One of the things they're very careful about is, "What's the potential impact on my revenue, my market potential?" That's a definite focus with vendors and we wanted to project that the use and the programmatic need for the content was not terribly significant, not a big add-on. We had to do that in an environment where they hear “Abu Dhabi”—we thought maybe they'd see dollar signs—and we don't think it matters because the relevance of some specific content to their specific teaching program is minimal. I think, in most cases, they really did listen to curriculum and what the student bodies were going to be and what is fair. In most instances, they're trying to think, "What is fair?" not “What I can get away with?” and “Let me squeeze here.”

Bill: Yeah. Yeah. I think that’s true, but I think at the same time, too, they know about our sites. I'll talk to people sometimes and they'll know what courses are running in both those sites. They'll say, “What are these new chemistry places? Well, I see they all of a sudden opened all these labs.” It makes sense—because some of the things they find out about, I didn’t know about—and that's another kind of transparency. I don't go search the site like they did to try and find out what's going on.

Angela: Yeah, and things can switch on you! When I got started it was liberal arts undergraduate education, but then I started to hear, “Oh no, engineering is important” with lots of majors and more faculty because they want to be supporting this programmatic need. So maybe engineering is a bigger deal than I thought it was going to be when I got started. You’re transparent about that. I think that happened with the science, technology, engineering, and math [STEM] fields in general. Science started to take on higher profile than I thought was going to be the case.

Bill: Knowing that things switch is good too. To be able to say to a vendor, “Look, we don't use this kind of thing right now and you can look at usage; you can count full-time employees [FTE] or whatever.” We know right now that we don't expect anybody to really use this, but we want a license where, let’s say, in two years we reevaluate? It makes sense to try to set that up and have those measurements agreed to.
That’s what it means, because for the most part they do want to make as much money as they can make. If it’s wide open, how do you decide when you can charge us more? It’s pretty easy for somebody at the vendor’s office to say, “Sales team, this year, you need to make 10 percent more than you made last year.” They say, “One thing we could do is ask NYU for 10 percent more.” Then you make up a reason why. It could be a legitimate reason, but it’s more legitimate if you agreed on that as a measurement than, if after the fact, they say, “Well, you did this, you did that.”

Scott: Were there other unexpected things with vendors? For example, I’ve heard you talk about how opening Abu Dhabi meant that sometimes vendors became more interested in other things that we’re doing, and there was heightened level of scrutiny suddenly.

Bill: That certainly is true. One thing I thought was interesting—is you realize that the corporate structure at the vendors matters, because they have a person whose job is to sell stuff in the Emirates and somebody’s job is to sell stuff in China and you make a deal with the person here that includes those sites. They get backlash internal to their company because that person is losing commission. So yes, when you say, “Here’s Shanghai, here’s Abu Dhabi,” people start to wonder how much are they using it there. Or they wonder, because it’s China, how secure things are. Or, look more closely, you see stats because they’re measuring things to try to figure out if you’re using much more when you have these places. Or they say, “Wait a minute. That’s China and Abu Dhabi. Let me look at your other IPs.” And then you get the call that says, “Tell me about the people in Prague.” Nobody asked until they started looking at all the IPs.

Scott: It sounds like different vendors have taken different tacks with us in terms of the models they’ve presented: everything from, “Oh, your license is fine as is,” to “We’re going to add on the percentage payment,” or something like that. Could you talk us through a few of the different models that you have encountered?

Angela: One proposal was to follow the size of the student body down the road and set add-on payment as a ratio. For example, if the Abu Dhabi student body is 10 percent of the student body size on the Square, we’ll do a 10 percent add-on.

We’ve had some that just have a single site fee just as an add-on. They try to establish these add-on fees regardless if the site is 30 blocks away or on the other side of the globe, right?
Bill: Yeah, which also becomes an issue for us. Because you say well…

Angela: What’s a site?

Bill: Yeah. “Health Sciences, who are they? They’re not a site.” Then they say, “What about Poly?” because they’re in Brooklyn; they’re across the river.

Angela: They’re not a site.

Bill: Exactly. You say, “Well, I could throw a rock out of my window and hit the Courant library!” I always say we’re urban and we don’t really have a campus. We just have buildings all over.

Angela: Some use FTE ranges. More often than not, the biggest FTE range is what we lock into. The 250 extra students at Abu Dhabi are meaningless in that range. If you’re maximum, you’re maximum. So they get a little mad. This FTE approach isn’t going anywhere.

Bill: Interestingly, they’re coming up with other models too: FTE combined with the usage, somehow, plus site. So, basically what they’ve said is any way you can measure it, we’re going to charge you by that, and then add the others.

But we’ve also had people who’ve said “Oh, we’re not worried. You’re right, nobody there’s going to use this. We’ll just take those IPs. We don’t care. It’s fine.”

We also have people who say you have all this content that you bought once. We need to do a sync fee to synchronize that and charge you a one-time amount just so everybody else can access what you bought already. I think we’ve tried for those to say, OK we can do this but let this synchronize Shanghai, Abu Dhabi, and everything else that might ever happen.

Angela: Yeah into the future—and we’re never, never, never going to talk about this again!

Bill: Paying for it a second time, even just a percentage, we can stomach it once. Yeah. But please, we have to figure out how we don’t have to do this ever again.

Scott: And some vendors are content to wait and see, right?

Bill: Yeah, some people have said it doesn't sound like there's going to be much, but we'll look at usage or look at FTE in however long. Or sometimes they’re hard-
er to manage. “Tell us when things change.” It’s kind of like, well, I don’t know. There are places that have said it. There are certain vendors who pop in once a year and say, “So how are things looking?” I don’t really know what to tell them.

**Angela:** I can remember sending a message that a rep could use with his honchos just describing what’s going on.

**Bill:** What we’ve never had is somebody just saying, ”No, we won’t do it.” We’ve had to pay for things. Sometimes we’ve even had to pay more than we initially hoped. But we’ve never had anybody have a price so high where we couldn’t talk to a point where we could get it. Or say we just can’t do this in Abu Dhabi or in Shanghai.

**Angela:** I’ve received some licensing language that was going to be just impossible for us to implement. I think it was streaming media. The vendor is probably trying to cope with regional distribution rights and has agreements in place, with the filmmaker or whatever, that place certain restrictions on him. We want the streaming to just be regardless of location. That’s a hard one because he’s jeopardizing the delicate agreement he put in place with his content providers. He’s not going to want to do that.

**Bill:** That’s another reason for transparency, because if you look at many of our licenses the authorized users for NYU are any student, faculty, or staff at NYU, regardless of location.

**Angela:** You need to take care of the third-party content provider that has his agreements in place with film companies.

**Scott:** Those kinds of things seem like they’re particularly fraught in the global rights environment.

**Angela:** The other tricky thing is we have agreements in place that say we’re going to be governed by U.S. Copyright Law and fair use applies. But there’s also an NYU warning that the in-country copyright law governs the use of information when you’re abroad. I don’t feel like I’m familiar with copyright law in Abu Dhabi or Shanghai and some of the agreements say international copyright law. But that’s definitely a gap in my understanding when I work on these agreements. I’m going to follow the practice I’ve been following, but it’s not totally clear.
Scott: Is the story parallel when you think about technological infrastructure? You’re operating in a somewhat unknown technical environment?

Angela: Shanghai was kind of scary because you hear about firewalls, and government intrusions, and censorship, and users who don’t have the same level of concern for intellectual property. I’m like, well, I don’t know what I’m getting into. But there were feelings like that, right?

Bill: Yes! And also when there were things where the IPs looked weird from Shanghai, because the network infrastructure connects to the west coast. When we register an IP we register it as Shanghai, but then they look it up and they’re like, “Well, that’s in California.” I go, “OK. Let me explain to you why.” You have to have some inkling of how it works (which I have only an inkling) but I have enough that I could explain why it looks like that.

We also had things where, through a change on the troubleshooting side, somebody in Shanghai would say, “I can’t get to this title.” You look at it and wonder is it because it’s in China. It’s a book that looks like it could be controversial. I don’t know that it’s literally about Tiananmen Square, something where it’s like, “Oh, that would be a candidate for censorship.” All of a sudden we’re in a group where we ask IP questions and try to figure out why people can’t get what they want, why they’re having technological problems. In the back of your mind you have to remember maybe it’s also China; maybe there’s a chance that somebody is stopping this on purpose. But the truth is we’ve never had an access issue where it looked like that was what was going on.

Scott: I think we’re talking a little bit about hindsight now. Do you have any thoughts about what you would do differently with all of the knowledge you’ve gotten, if you started a project today?

Bill: I would certainly do this thing I keep saying, where for the very first site you say, “This is what is different about this place.” Explicitly, this is when we will consider a place to be a site. Or we will think of the growth at a site to be enough growth that pricing or something has to change, but to be explicit about it. There’s an advantage to saying let’s just figure it out down the road, but I personally find that a little nerve-wracking, because it can lead you away from budget. Some places may say, “OK. We’ll take our ten percent now,” but other places still haven’t said it. How do you know when it’s going to happen if you don’t set standards?
Again, it may be a personality thing, but for me I feel like I would try to be explicit and have something where I could go to everyone and say, “What do you think about measuring it this way? Like FTE doesn't work because we're too big already. What do you think about doing—yeah—like a percentage of our FTE? Or what if we look at the usage and think of it?”

It's just creating some models and then a plan for how you revisit them. Something less tentative than what I think we did. But I think we did what we had to. I don't think anybody was prepared to say, “Oh, yeah. That sounds fair. Let's do it by FTE, or let's do it by usage.” Because if you do it by usage it could cost you a hundred percent of what you're paying. So some clearer definitions, even though they can cut both ways when you do that.

Angela: I guess I wonder about how sites do their branding and how it relates to the processing of their resources and that integration with centralized resources. You hope that the way you get started concentrates on a workflow or process that's streamlined. You don't want separate catalogs. You don't want a separate knowledge base. You don't want to do any of that twice; you want to do as much of that at once as possible in a networked environment. That's kind of balanced with the point I made about demand-driven acquisitions, like “Oh, gee, I wish I could have isolated them and done something special for them.”

Bill: We had to set Abu Dhabi up, sort of—well, we license everything for everyone—but having that flexibility would have been helpful. In the same way that I think having—and I think we're closer to it now—a more explicit way of saying, yeah, we license these things centrally, but here's how it works when you desperately need something right away. Here's a starting place when we're talking about sharing the cost of something. Let's say this is where we start and, if there are differences in what it is, we can shift the percentages around. We do that, but we don't do that in a way where if we need to talk to somebody who doesn't do it every day we can say, pretty much, here's how it works.

I think—if I think in hindsight I would try to come up with something, even if it's kind of just a stake in the ground, that you can point to. But something where you have a starting place, even if you don't use it all the time in your day-to-day work, that you can say, “Here's fundamentally how we do this.”

Angela: Probably you would invest a little more time in the integration of the approval profiles from the start, because predictably the subject specialists wanted to understand what's going on there in terms of collecting. That takes advantage of a vendor system and the reverse. The librarians at the site want to see what
the librarians here are doing and try not to duplicate where you don’t need to duplicate.

Scott: I think that’s a good bridge to thinking about a question that would probably be on the minds of a lot of folks, which is, “How do you do this without a benefactor like NYU had?” I think we’re just starting to get into this idea that there are some efficiencies and there are some economies of scale. Could you say anything about that if you were operating in an environment where you didn’t have a lot of extra capital?

Angela: You’d probably be on a much tighter leash in terms of the transition to electronic. We were able to support dual-format coverage to give us some time with the transition. Maybe study the reception on the part of different communities on campus before going e-only. If you don’t have that cushion, you really have to reallocate the funds from one format to the other.

Bill: Even then it depends how exactly you do it. We can stop the print from certain publishers, instead of take just the electronic, because it will serve this new campus and serve us. It’s not necessarily the same price as the print. It may be more. So it’s probably possible without a benefactor, but it’s not possible without budgeting for a new campus somewhere. I would say, OK, as you come up with the budget, remember that the FTE at this new place is going to be ten percent of what we are. Maybe not everybody is going to price it that way, but let’s estimate that’s what we want them to have. It’s going to cost ten percent of our budget for e-resources and you can’t do it without that. There’s no way you could go to someone and say we have ten percent more people in our campus doing intensive work, but we really can’t pay for more than this. I don’t think you need mountains of money, but opening a campus somewhere costs money for everything and I think there needs to be re-budgeting.

Angela: From the very beginning, you have to plan the budget with that in mind.

Bill: Yeah. I think to me—if I were somewhere doing this—I would say, OK here is a model and I think it makes sense for what it’s going to cost, and we can’t do this without that. Then I would have something when I approach vendors to say, “Look, when we did this, this is what they gave me.” If you say ten percent, because it’s ten percent FTE, and you felt like you could really afford that, the model makes sense. You certainly couldn’t do it for free. But you don’t need money raining down on you, I don’t think, it just needs to be part of the budgeting you’re doing.
Angela: Yeah, and you have to be tougher about that transition to electronic only. That’s a collection policy decision.

Bill: Yeah, when you have that kind of distance between you—maybe not everybody is dying to have an e-book or gets the e-book and says I want to have the print (but maybe there’s contingency plans for how you deal with that)—but an e-book, it maybe has to suffice if it needs to serve these two places that are far apart at the same time. I think you just have to be a lot more brutal about those decisions.

Scott: Look into the future. What do you see on the horizon that’s of interest or that’s changing, particularly for leveraging subject expertise, thinking about how to adjust based on the changes of the campuses and changes in usage level as they grow, or the faculty change emphasis?

Angela: Growth and change will have an impact. There’s talk of larger graduate programs. There’s growing pride in the research impact of these places. It makes me wonder how significant that will become going forward and it’s something to monitor. As soon as you’re in that territory, a lot of the services that we offer are probably imminent for them as well. It becomes important for me to understand how the licensing of content that serves research needs in a variety of disciplines is going to work in both places. I don’t necessarily know, and I’ll have to rely on the subject specialist to help me figure out if that’s going to work or if we need to do something different with the way we acquire something to make it available in both places. That starts to become significant if that research component grows.

Bill: I think when it comes to electronic resource licensing, the whole notion of geography of these places is going to be outmoded very soon. It doesn’t make sense to worry about where is the campus when we have people who are all over the world doing research. If they left from New York or they left from Abu Dhabi to go to wherever and do what they’re doing, what difference does it make? I understand why it’s a thing we use now, why that’s something that helps with pricing models, but I don’t think that it makes any sense. The more you are sending people to all these different spots and everyone is logging in via their netID and password through EZProxy, it just becomes the same. So the geography is not really relevant.

Then the question is how does the publisher decide what they think they ought to charge you? How do we decide what we ought to pay? Do you use usage? Or do you use the number of people? Or do you use the number of people in specific disciplines? All of the sudden, I just think that there’s going to be other ways to figure out how to charge for this.
The site campus thing is so central right now—and it’s a good yardstick of how things have changed—but I think there are other things that are going to seem more relevant, really, than simply keeping track of why Prague has their IPs registered and Buenos Aires doesn’t? They use EZProxy in Argentina and they use their IPs in Czech Republic. It doesn't make any sense. In the end the same thing happens; somebody at NYU goes and uses their stuff.

I think it’s going to matter more when I ask, instead, do you measure usage from different places? Or just from different kinds of people? That’s going to change things too. Like right now some vendors can tell you how much Abu Dhabi uses their stuff, some can’t. Some just say, “Oh, NYU is one giant hunk of stuff to us.” When we license with Mount Sinai—who are just uptown from us—some places can tell you what they do, some places can’t. It’s like if you need to measure what things are worth different ways, that kind of blunt measurement isn’t going to work.

**Angela:** On a last note, I think discovery and access is just this ongoing dialogue we have with vendors that requires some notion of how libraries are moving; because from the very beginning you want to be talking about access and delivery of metadata from different service providers—a whole range of things that you press them on at the point of purchase. If you don’t have discovery and access that feels comfortable to a networked university, then you’ve got a problem.

**Biographies**

**Angela Carreño** is the Head of Collection Development for the Division of Libraries at New York University. She has a subject background in Latin American Studies and is Past President of the Seminar on the Acquisition of Latin American Library Materials (SALALM). Angela has led, coordinated, and supported the expansive growth of licensed electronic resources at NYU since 2000. She is the primary licensing officer for the Division of Libraries and assumes primary responsibility for consortial collection development commitments. She represents the Libraries on collaborative projects with other campus units and other libraries. Since 2007, she has intensified work on the NYU electronic book collection in close collaboration with NYU’s branch campus library in Abu Dhabi—a library with an e-preferred collection policy—and in support of the Manhattan Research Library Initiative (MaRLI). Angela has experience serving on numerous Library Advisory Boards established by publishers and is Past Chair of the Northeast Research Library Consortium (NERL) Program Council. She is the recipient of the 2013 Coutts Award for Innovation in Electronic Resources Management.

**Bill Maltarich** is the Librarian for Collection Management for the New York University Division of Libraries, where he’s worked for the past nine years.
Collection Development for Global Campus Libraries

Ree DeDonato and Michael Hughes

Beginning with the October 2007 announcement of creating New York University (NYU) Abu Dhabi, through the opening of New York University Shanghai in August 2013, the NYU Division of Libraries has faced the challenge of building collections for a Global University Network. Although the work of collection development does not change substantially with the introduction of distance, there are nevertheless unique challenges involved. In this chapter, we discuss these challenges and the decisions made to ensure local collections at our portal campuses meet the teaching and research needs of the institutions.

Introduction

Early on the decision was made to handle collection development for the new portal campuses, along with technical services, from New York, rather than expect the local staff—who in some cases had not yet been hired—to take on this task among myriad others involved with opening a library. Although NYU Abu Dhabi and NYU Shanghai were envisioned as liberal arts and sciences degree-granting institutions, the model used for collection development in Abu Dhabi and Shanghai had much in common with the familiar branch campus model. In many ways, both libraries functioned as branch campus libraries in their early days, with limited on-site staff and minimal print collections. This is no longer the case; both libraries are now well-staffed locally and their on-site collections have grown significantly.

While opening branch and international campuses of U.S. institutions is well covered in the literature generally, it is treated most often in terms of services,
and there is little written specifically on the topic of collection development for such libraries; Silveria and Leonard, and Gilreath being notable exceptions.\(^2\) Robert Seal provides a thorough review of many of the issues involved in starting and maintaining academic branch libraries, including issues of developing print collections.\(^3\) Fortunately, the information landscape has changed to such a degree that it is now possible to open a branch library with an excellent research collection available electronically through pre-existing subscriptions and acquisitions by the university library system, in addition to increasingly rich and efficient delivery services provided by the main library. These, however, do not eliminate the need for excellent local print collections to support teaching and research.

Don Lanier provides an informative discussion of the tension between centralized and decentralized models of collection development in branch libraries.\(^4\) At the extremes, the centralized model places all decision-making with the main library, whereas in the decentralized model the branch library is responsible for all collection decisions. This model can be applied to any aspect of library administration or service, of course, and not just collection development. In the NYU Division of Libraries, our approach to collection development for the portal campuses operates according to a modified centralized model: insofar as the primary collection development librarians are based in New York, yet work directly with the faculty and staff in the libraries abroad to develop the collection. More recently, NYU Abu Dhabi librarians have begun to participate in selecting materials for the collection as well.

This modified centralized approach has many benefits, for example, easy access to subject specialist librarians at the main library, opportunity to attend general collection development meetings, and a better understanding of how the local collection fits with the broader university collection than might otherwise be possible. On the other hand, the centralized model, however modified, runs the risk of falling short in terms of responsiveness to local needs. In building the collections for our portal campus libraries, we have worked to balance these benefits and risks at each stage. In what follows, we will discuss the different stages of the process of collection development: needs assessment, initial selection, and ongoing selection. We will then briefly discuss the special communication issues involved with these processes.

**Needs Assessment: Abu Dhabi**

To build the collections in Abu Dhabi and Shanghai in a way that will best serve the current and future users, it has been necessary to undertake multi-faceted needs assessments. As collection development began before the campuses had opened—each with a rapidly developing faculty and curriculum—we were unable to assess the adequacy of any current collection. We needed to build a print collection from the ground up, albeit with the marked advantage of access to NYU’s electronic holdings, as well as the print collection in New York.
After a great deal of planning at the highest levels of the university to articulate the vision, mission, academic program, funding, and infrastructure for the Global Network University, work to create the library began to move forward. By the 2008–09 academic year, a library director was in place in Abu Dhabi. Along with a very small library staff, the director worked with various administrative staff and faculty on-site as the temporary campus was taking shape. In the fall 2009, a part-time librarian was brought on board in New York to concentrate on collection development. Initial activities included a thorough review of curriculum documents describing the proposed academic programs, subject majors, and specific courses to be offered. Faculty designated to teach in Abu Dhabi were consulted, as were the Deans of various academic departments, to solicit input on the library collection. Because NYU Abu Dhabi academic and administrative staff had offices at the Washington Square campus in New York, scheduling in-person meetings was relatively easy and could occur frequently. Conversations with individual subject specialists in the New York libraries were another important form of outreach to gain insight into academic strengths, faculty research areas, and collection directions.

The near-term goal for the library was to support courses being offered to the incoming NYU Abu Dhabi freshman class in the opening fall 2010 semester and to build a solid interdisciplinary collection for the developing four-year institution. An equally important goal was to support research for faculty teaching in Abu Dhabi as well as faculty and post-doctorates affiliated with the NYU Abu Dhabi research institutes. Relying on course syllabi would go a long way toward meeting the near-term goal and developing a fast and efficient document delivery service would contribute greatly toward meeting needs for wider research.

The librarian for Abu Dhabi collections was in frequent contact with the NYU Abu Dhabi Associate Director of Academic Programs to discuss library support for the inaugural fall semester. From the outset, syllabi for all courses to be taught were shared with the library. The library would then purchase all required readings as well as all recommended or supplementary titles. In addition, syllabi were carefully reviewed to identify where the on-site collection needed to be strengthened. For example, five undergraduate degree programs in engineering were to be offered at NYU Abu Dhabi. Engineering as an academic department or major had not been present at the New York campus for many years; thus there was minimal support in the existing library collection for the new undergraduate engineering courses to be taught in Abu Dhabi. By reviewing the syllabi in consultation with faculty, Abu Dhabi’s near-term collection needs in engineering were satisfied and long-term direction came into view.

Needs Assessment: Shanghai

In its first year, the NYU Shanghai campus was located in a building on the East China Normal University campus in the Putuo District of Shanghai. Capitalizing on
experience gained in creating the collection for Abu Dhabi, it was decided that we would not build a day-one collection for Shanghai. Instead, to meet general research needs, we would rely on delivery services from New York for physical materials and on electronic resources provided by NYU as a whole. In addition, a targeted collection of reserve materials, drawn from syllabi, was selected to support classes that would be in place for the first year. This is not to say collection development efforts at that stage were limited to reading syllabi. On the contrary, while fulfilling immediate needs expressed in the syllabi, we also began a more general needs assessment.

In the spring of 2013, collections librarians based in New York had a series of meetings with members of the NYU Shanghai academic leadership to discuss ways the collection could support teaching and research for the first few semesters and for the long term. We discussed not only plans for the curriculum and how the collection could serve teaching and research, but also a more general vision of the sort of collection most appropriate to a liberal arts campus. Meetings, both in-person and virtual, were arranged with members of the Academic Affairs office in Shanghai, helping to establish an ongoing relationship crucial to both the development of the collection and support for classes. A tangible outcome of this relationship is the formalized sharing of syllabi with the collection development librarian, which both ensures the collection holds texts necessary for courses being taught and aids the collection development librarian in supplementary collecting.

While it is sometimes the case that branch library collections are geared exclusively towards course support, this is only one aspect of the collections in Shanghai and Abu Dhabi. Despite significant limitations placed on the size of the print collections (particularly in Shanghai) both institutions are research institutions supporting research performed by teaching faculty and the separate research institutes at each site. When the collection needs to support faculty research, the syllabi and curriculum are not sufficiently informative. Thus, direct outreach to the faculty was a major early component in needs assessment for both new libraries. In the case of Shanghai, the collection development librarian personally wrote each incoming instructor, the semester before the campus opened when no other library staff were in place, to offer services and collection development for the instructor’s teaching and research. The response rate was high and responses very positive, although there were few concrete outcomes at the time. However, this direct outreach began an ongoing process of building relationships with faculty that has borne fruit over time. Given the distance involved, regular contact with faculty by email has been a crucial part of the ongoing collection development process in Shanghai.

**Initial Selection: Abu Dhabi**

The required reading lists, which were a component of the syllabi, formed the basis of initial purchasing to build the day-one collection. Faculty and departmental contacts sent to the library rather extensive bibliographies of relevant materi-
als they felt would be appropriate for the collection. These lists greatly assisted in shaping the early collection and identifying directions for the purchase of supplementary material.

From the outset, a number of characteristics defined the NYU Abu Dhabi physical collection. As the language of instruction would be English, English-language materials would form the vast majority of the collection with selected non-English materials purchased to support language learning in Arabic and Chinese. European-language publications are being purchased over time, but the print collection remains mostly English-language materials. Acquiring materials published within the last ten years was another concentration for initial purchases.

Retrospective publications would be provided through a document delivery service established to leverage the circulating collection of NYU in New York. Interlibrary loan (ILL) would be available to the NYU Abu Dhabi population when an item cannot be provided from the New York collection. Both services are coordinated from New York and have been very well received. Even as the onsite library collection grows, because of additional faculty at NYU Abu Dhabi and a larger student body now spanning all four academic classes, document delivery remains a key extension of the collection. Expedited shipping of physical materials back and forth is not inexpensive but has proven its value. Regularly produced reports of items requested from the New York collection and via interlibrary loan assist with assessing the onsite collection in light of users’ needs.

Additional decisions influenced the character of the NYU Abu Dhabi collection. Print references were kept to a minimum since a robust offering of electronic reference sources was already in place via the main NYU libraries. Similarly, NYU Abu Dhabi users would rely on online journals, both current and retrospective, as is largely the case for the user population in New York. A small collection of print journals is available in the Abu Dhabi library. Titles were selected to represent core subject areas, news and current events, and regional publications. Many publications are held for only six months, while some are retained and archived indefinitely.

Another influence on building the collection relates to media. Courses across the NYU Abu Dhabi curriculum included film titles as required viewing, so purchasing DVDs (and when not available, VHS) of documentaries and feature films was an important aspect of initial collection development. Use of media continues to grow at NYU Abu Dhabi and the library collection now holds over five thousand media titles. Also, a streaming service between campuses was developed to make DVDs held in the NYU New York collection accessible for courses taught in Abu Dhabi. The library even collected selected films and related materials related to the annual Abu Dhabi Film Festival for its Special Collections department. This resource will become increasingly significant as the Film Festival ended in 2015.

Expanding the acquisition of electronic books also influenced collection development for NYU Abu Dhabi. Adding electronic resources in new subject areas
important to NYU Abu Dhabi, such as engineering, contributed to the development of the collection. In general, titles would not be duplicated in both print and electronic formats. In a number of disciplines, such as the sciences, electronic materials would be the preferred format. Many publishers’ frontlist electronic book packages were added for NYU-wide access along with the purchase of selective backlists. Whether e-books, online databases, or online journals, our licenses always take into account global access for all NYU campuses and academic sites. Weighing whether print or electronic is most appropriate continues to be an ongoing part of collection development.

### Initial Selection: Shanghai

As in Abu Dhabi, course materials (including syllabi and curriculum documents) were the basis for the early steps in developing the collection, along with information gleaned from meetings and consultation with faculty and academic affairs departments. Another outcome of the meetings with NYU Shanghai Academic Affairs was the decision to collect textbooks needed for courses, something that is not a part of collection development at the main library in New York. The reason for modification to the collection development policy in Shanghai was a practical one. It could take several months for textbooks ordered for students to arrive in China. We wanted to ensure that students had access to at least one reserve copy. On more than one occasion, the library’s copy of a textbook was the only one on hand.

The collection would be largely (but not exclusively) in English, the language of instruction on campus. As the library was to occupy a temporary space for only one academic year, we did not collect heavily in print materials or media, nor did we subscribe to any journals during this period. Similar to Abu Dhabi, we have been able to rely on excellent delivery services from New York, including ILL, to supplement the collection.

### Ongoing Selection: Abu Dhabi

Once the initial selection of materials required to support immediate needs was underway, we began developing and implementing policies and procedures for ongoing collection development.

An approval plan was crafted for the library, shaped to reflect the overall liberal arts direction of NYU Abu Dhabi. All NYU librarians, using the vendor’s website as part of their collection development, can observe which titles are going to which library whether selected from slips or received automatically on approval. The plan takes into account the increasing number of e-books being added to the NYU libraries via publisher packages so as not to duplicate in print what is available electronically. This means for specific publishers, identified by NYU
Libraries, titles published in electronic format will automatically be available to our global user community. Title by title selection is not necessary. In addition, librarians doing collection development can request specific e-book titles be ordered individually when reviewing approval slips or searching the system. These “firm ordered” e-books enable the library to add appropriate titles that may not be included in the publisher packages established for NYU, as well as acquire e-books from other publishers.

Initially, a shelf-ready approach was attempted so that both approval books and those purchased from slips would arrive fully cataloged, labeled, and ready to ship out. This approach ended early on because it slowed down the time it took to get materials into the hands of students and faculty overseas, and the cost savings was not sufficiently compelling. The profile has been modified several times and continues to be examined to ensure that appropriate titles are coming in. We have also designated e-preferred as the format for new publications in selected subject areas of the profile. Currently, librarians in Abu Dhabi are reviewing slips in specific subject areas, informed by consultation with faculty and users, and selecting titles for purchase as appropriate. These collection development responsibilities are a natural outgrowth of their role as liaisons to their academic departments.

A good working relationship between the staff of NYU Abu Dhabi Library and their campus bookstore was developed in the start-up year and continues to be mutually beneficial. Initially this led to efficiencies in handling syllabi purchases, course textbooks, and faculty-authored works. The bookstore continues to expand its inventory and services, such as providing non-course specific material and special purchase requests.

A librarian position in Abu Dhabi has technical services responsibilities and supports collection development with direct firm ordering, assisting with the approval plan, communicating with vendors, and serving as principal liaison with the New York-based Global Processing Unit. The librarian also contributes to collection development in several subject areas and for Arabic language materials. At this point, nearly all syllabi-specific ordering is handled directly from Abu Dhabi while the coordination of the approval plan and wider selection (e.g., retrospective material, special subject projects) is generally carried out from New York.

An area of collection development that has been increasing in the last year is acquisitions of archival materials and special collections. A few notable projects include: the Global Shakespeare collection (consisting of first and early editions of translations of the plays), a photobook collection (to support research in the history of photography), and a multi-media maps collection (comprised of contemporary and historic maps of the region). Collecting for special collections is done collaboratively by librarians in New York and Abu Dhabi with much mutual consultation and enthusiasm.
Ongoing Selections: Shanghai

In the first months after NYU Shanghai opened, the collection development librarian worked on site, both to help open the library as staff and professional positions were filled and to gain an understanding of the collection needs in Shanghai. This was an extremely beneficial time, as it allowed him to meet the faculty and students and discuss in great depth the work being done in Shanghai. In addition to the wealth of information gained, this was an opportunity to establish relationships with faculty and lend a face and shared experience to what would otherwise be another name or email address. As with any liaison work, this sort of personal outreach has significant effects and improves not only the collection, but also the relationship between the library and academic departments.

As we prepared to move to our permanent home in the second year, the approach to collecting shifted from meeting immediate course demands to building a collection in support of teaching and learning, as well as providing a rich selection of works to support student research. Using Abu Dhabi’s approval profile as a base and leaning heavily on experience gained while in Shanghai, we created our own approval profile and tailored it to meet Shanghai’s needs. In addition to using the profile for an ongoing approval plan, it was applied retrospectively to three years of publications to build a core collection. Lists were generated of items meeting the profile criteria and the collection development librarian selected the titles to be purchased. This approach required intensive work, not only in collections but also in technical services and acquisitions. In this way, we were able to open our Pudong campus in 2014 with a print collection of ten thousand items. It was at this time that we began to significantly increase the collection of DVDs, both feature films and documentaries, in addition to subscribing to a handful of periodicals. We have also recently begun acquisition of major electronic databases not previously held across the NYU network.

Communication: Abu Dhabi and Shanghai

Now that the print collection is well-established, selection has become more a routine: books come in regularly on approval, slips are reviewed, and selections are made according to the profile. However, given the developing nature of the two campuses, it is still of paramount importance to maintain active communication with faculty and staff in order to ensure the library continues to meet local needs.

Communication between New York and Abu Dhabi has been critical at every step of developing the on-site collection at NYU Abu Dhabi. Frequent emails and weekly virtual meetings, both one-on-one and as groups, were essential for sharing information, resolving problems, building strong working relationships, troubleshooting, and providing staff training. Meetings often included staff from multiple library units: technical processing, access services, collection develop-
ment, and public services. Once library staff were on-site in Shanghai, similar communication took place to coordinate efforts there with those in New York.

Time zone and workweek differences presented some difficulties in communication; typical notions of appropriate response time had to adjust given a time difference of eight or twelve hours between locations. Overall, the challenges of working remotely, from both the user population and from library colleagues, were offset by virtual meetings, email, and other computer-mediated communication. Written documentation for procedures, keeping track of decisions, and summaries of meetings were heavily relied upon, especially in the early stages. Now that processes are established, keeping the necessary documentation up-to-date is a greater focus of attention. The frequency of Skype meetings has declined, but email continues to be an essential form of communication.

Relationships made via email are not limited to communication at a distance, but serve as a foundation for more productive site visits as well. Although expensive and sometimes difficult on schedules, site visits have been instrumental in our ability to develop the library collections for the Abu Dhabi and Shanghai campuses. A visit by the collection development librarian for NYU Shanghai (going from New York to work in Shanghai) not only allowed for easier information gathering, but put a face to a name which helps to foster trust and bolster service. Especially since this visit occurred early in the process, it demonstrated the librarian's concern and readiness to provide the materials necessary to support teaching and research.

Site visits have been extremely important for staff training, sharing information, and gaining first-hand knowledge of how things work and who we are working with and for. Abu Dhabi and Shanghai librarians have spent time at the New York Washington Square campus for varying periods, from a week to several months. Selected librarians from New York, including the librarian for Abu Dhabi collections and the librarian for Shanghai collections, have gone overseas. These working visits have included staff training sessions and one-on-one meetings with faculty, instructors, deans, various administrators, and library staff. Visits have included sitting in on classes, attending various academic events, participating in instruction sessions or reference interviews, attending conferences, and even touring a local book fair. When in Shanghai, for example, the collection development librarian attended curriculum committee meetings and library advisory board meetings, thereby gaining important insights on academic directions and how the library collection can meet teaching and research needs.

Site visits also provide opportunities for building rapport, mentoring, and professional development. In terms of collection development, working in physical proximity to colleagues enables casual conversations about a wide range of topics which lead to helpful insights and shared learning about publishing trends, effective outreach to faculty, evaluating a new series of possible database offerings, tips for using the approval plan most effectively, and so on. It is impressive how much excellent work has been accomplished, largely via virtual communica-
Conclusion and Lessons Learned

The library collections for both NYU Abu Dhabi and NYU Shanghai are a result of consistent and effective communication and collaboration among library staff in the U.S. and abroad, and of strong working relationships between the libraries and the academic and administrative staff locally and globally. Needs assessment for developing the collection followed thorough study of the university’s academic plan and led to effective selection of materials for both the opening day curriculum and the ongoing teaching and research needs of students and faculty. Policies and procedures were developed to build a strong collection and ensure resources would be available based on direct faculty request, course syllabi listings, approval plan purchasing, document delivery, and librarian subject expertise. Along the way, challenges have been met and the resulting library collections at both new campuses represent the strengths of the NYU Global Network University. Clearly the work is ongoing; it will continue to be rewarding and successful in developing collections for NYU’s global campus libraries.


Biographies

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Participatory Archives:
Building on Traditions of Collaboration, Openness, and Accessibility at the American University in Cairo

Stephen Urgola and Carolyn Runyon

The Rare Books and Special Collections Library of the American University in Cairo embraced collaborative partnerships, openness, and accessibility to create collections using Archives 2.0 principles long before the term was coined. Using participatory and inclusive strategies, the library built collections of national importance, often preserving the historical record of traditionally underrepresented groups. The university and library leveraged these skills to tackle the monumental University on the Square: Documenting Egypt’s 21st Century Revolution project in response to the eighteen days of demonstrations, largely centered in Cairo’s Tahrir Square, that resulted in the ousting of President Hosni Mubarak. This chapter explores the use of participatory models of acquisition to build modern, political archives according to Archives 2.0 principles long established in the Rare Books and Special Collections Library.

Introduction

To outside observers, archival acquisitions and heritage documentation may appear to be a closed, institution-driven endeavor undertaken by trained archivists. While professionals understand the turbulent waters to be navigated in building
important primary source research collections, including donor relations and collection development strategies, sometimes it takes a tsunami-level event to highlight all that collecting and managing archival collections involves. This was the case for archivists in the Rare Books and Special Collections Library (RBSCL) at the American University in Cairo (AUC) in January 2011. The event, of course, was the January 25 Revolution, the eighteen days of protests in Cairo’s Tahrir Square and elsewhere that ended in the removal of longtime President Hosni Mubarak. Like the rest of Egypt, AUC was thrust into the events of the uprising. The university, with its historic campus a fixture on Tahrir Square, had a uniquely central role with many of its faculty, students, and staff numbering among the participants. Emerging from those circumstances was University on the Square: Documenting Egypt’s 21st Century Revolution, an ongoing participatory archives project undertaken by AUC to build an open collection of resources related to the January 25 Revolution.

As the country and university looked expectantly to the future of a post-Mubarak Egypt, AUC’s president convened a group of administrators, archivists, oral historians, technology officers, journalism faculty, and other staff members to address how the events would be documented. They contemplated the photographs and videos taken using mobile phones, the banners and signs on display at Tahrir Square, the tear gas canisters littering the ground, the blogs and Facebook pages, and the memories of the participants. They worried about preserving these ephemeral digital materials and physical objects for future generations. To address these concerns, AUC’s archivists turned to Kate Theimer’s definition of Archives 2.0, which advocates collaboration and openness and argues that “archivists must be user centered and embrace opportunities to share collections, interact with users, and improve internal efficiency.”1 University on the Square also drew on the experiences of other participatory archives projects, such as the Virginia Tech April 16, 2007, Archives of the University Libraries, to inform processes and policies. Inspired by these models, AUC’s archivists helped build a collection of almost 15,000 photographs, videos, oral histories, written accounts, political leaflets, protest posters, and artworks. In addition to rich primary sources, the project solicited scholarly communications in the form of graduate theses, audio documentaries, undergraduate research papers, journal articles, and a biographical dictionary of the January 25 Revolution. Finally, the project archived over 700 distinct websites with their own associated links (66 million URLs comprising 3.3 terabytes), rounding out the project’s extensive multiple-format collection.

One of the main differences between Virginia Tech’s 4-16-07 Archives and the University on the Square project is that archivists responsible for building, preserving, and providing access to the memorials, official responses, and videos that document the horrific campus shooting are members of the university community, share in the language, culture, and collective experiences of the people and events that the 4-16-07 Archives memorializes. Archivists working on the Universi-
The University on the Square project were expatriates, trying to document a foreign revolution during a time of intense nationalism and patriotism. In response to these unique challenges, archivists relied on Archives 2.0 principles of collaboration, openness, and accessibility, which have been hallmarks of the RBSCL’s archival practice from the start.

Another important framework to consider is Max J. Evans’ take on “archives as a common and public good rather than the protected property of an institution.” While AUC has and will always dedicate efforts towards preservation, the RBSCL is especially focused on providing equitable access to materials. Building on the idea of openness, the University on the Square project adopted new methodologies including crowdsourcing accessioning and descriptive work) to build a more complete, openly accessible archive of the January 25 Revolution than possible without the help of strategic alliances. As Evans argues, archivists alone cannot cope with the massive amounts of item-level metadata without help. Archivists administering the University on the Square project leverage the experiences and interest of contributors to build robust descriptive metadata for photographs and video footage of the January 25 Revolution and ongoing political activity in Egypt.

This chapter explores the RBSCL’s commitment to Archives 2.0 principles and crowdsourcing as well as its adoption of Web 2.0 technologies used to support these activities in the case of the University on the Square project. It also discusses how the RBSCL builds on longstanding traditions of collaboration, openness and accessibility with efforts to document cultural heritage on a national scale. Another focus is the way the library has concentrated on revolutionary content, such as manuscript collections that document Egypt’s influential feminist movement and contemporary politics often at odds with the prevailing regime.

**Background**

Founded in 1992, the AUC’s RBSCL combined the Main Library’s Special Collections unit, which maintained university records and assorted rare books and maps, and the library of the university’s Center for Arabic Studies, which focused on Islamic art and architecture. These libraries were brought together in a restored nineteenth-century villa at the Tahrir Square campus, but the RBSCL moved with most of the university to a new campus in the suburbs of Cairo after 2009. With a mission to support teaching and learning at AUC, including programs in Islamic art and architecture and Egyptology, the library houses extensive collections of rare books such as the Napoleonic expedition’s *Description de l’Egypte* and volumes depicting the country by nineteenth-century artist David Roberts. Photography, such as images of the architecture and landscape of Egypt dating to the late nineteenth century, represents another core area of the collection. In the mid-1990s, the RBSCL began to acquire collections of personal papers, like those of Egypt’s leading twentieth-century architect Hassan Fathy. Since that time, the
library has made steady acquisitions of archival resources documenting Egyptian history and society, with special strengths in the country’s culture and arts. The RBSCCL also serves as the official memory of AUC, managing the university’s archives of administrative records, student publications, and other materials.

It is important to note that the American University in Cairo’s model—that of a university special collections library documenting national heritage—is the exception in Egypt; university libraries do not play a major role. Private universities, a relatively new feature on the Egyptian educational scene, have not made hosting special collections a mission for their libraries. Government institutions predominate—ranging from the Egyptian National Library and Archives to Bibliotheca Alexandrina—and represent the main entities holding archival resources. These are supplemented by holdings at smaller institutions and museums, like the Museum of Modern Egyptian Art. Several kinds of private institutions do maintain collections of archives in Egypt—including archaeological centers like the German Archaeological Institute—holding records, including photographic collections, related to their excavations and other antiquities research about Egypt. The oldest and most famous of this kind was the Institut d’Egypte, whose library at Tahrir Square burned during protests in late 2011. Some Catholic institutions also maintain archives and related primary source materials, among them the Dominican Institute for Oriental Studies (commonly known by the acronym for its French name, IDEO) and the Jesuit Collège de Sainte Famille, both in Cairo. In the years prior to the January 25 Revolution, there emerged small, independent initiatives to assemble archival material or produce documentation—groups like the Cairo-based Women and Memory Forum, which had for a number of years served as a research center and conducted oral histories documenting the contributions of Egyptian women. Another, the Downtown History and Memory Project, was dedicated to preserving traces of downtown Cairo’s storied past.

The role played by AUC’s RBSCCL in documenting national heritage, given the size of the parent institution, would be unusual in the United States or Europe: many more institutions would be performing that function, and the impact of Cairo’s dominant role in national political, social, and cultural life is another factor. In addition, the presence of collections of key importance in several collecting areas—the architectural archives of Hassan Fathy, the Islamic monuments photograph collection of K.A.C. Creswell, the papers of pioneering Egyptian feminist Huda Shaarawy—have resulted in the library attracting the collections of other major national contributors in those fields. The RBSCCL’s Regional Architectural Collections division, for example, claims comprehensive archives of most of the key figures in twentieth-century Egyptian architecture.

Collaboration

In the same way that the University on the Square project had been framed as a
participatory project, collecting of heritage materials at the university relied upon collaborative partnerships with alumni and faculty, scholars, artists, architects, politicians, and other members of the greater Egyptian community. The RBSCL has long relied on collaborative relationships with alumni and faculty to solicit collections of national importance. Aziza Hussein, a 1942 AUC graduate and longtime proponent of improving conditions for women in Egypt through bodies like the United Nations and non-governmental organizations, donated her papers to AUC in 2006. Her papers include documents from time spent in Washington D.C. in the 1950s accompanying her husband Ahmed, the Egyptian ambassador to the United States under Egyptian President Gamal Abdel Nasser. Egypt’s most prominent twentieth-century studio photographer, Van-Leo, was an AUC alumnus who donated the corpus of his work, numbering some 10,000 negatives and prints of Egypt’s artistic and cultural elite (including the first portraits of actor Omar Sharif).

The University on the Square project similarly took advantage of alumni connections, acquiring donations from over two dozen former AUCians to build a repository of photographs and video footage of the of the eighteen days of demonstrations that culminated in the ousting of Egyptian President Hosni Mubarak. AUC actively collects faculty papers, and at AUC these papers can reflect matters of wider national significance than individual research interests—as in the case with the papers of Saad Eddin Ibrahim, whose civil society activism prompted his arrest in 2000. Faculty with noteworthy relatives have contributed their family’s papers. The papers of mid-twentieth-century feminist Doria Shafik were donated by her daughters who are members of the faculty at AUC.

The RBSCl has a history of collaboratively building collections by networking with alumni, faculty, and students, and the success of the University on the Square project is a direct result of these same connections. In the months following the Revolution, the library reached out to alumni and faculty to encourage donations of memorabilia, photographs, scholarship, and creative works. The project also relied heavily on the university connections to conduct over 325 oral histories with demonstrators, political figures, and bystanders. In fact, two-thirds of interviewees were staff, faculty, or students of the American University in Cairo. While the online collections system and born-digital nature of the records collected as part of the University on the Square project was a departure from the established acquisitions practices and formats in the RBSCl, the participatory nature of the archive is a tried-and-true strategy for the repository.

A program of oral history interviews was a key feature of the project. Early on it became apparent that there were a wide range of AUC community members who had participated in revolutionary events and would have experiences to relate. Beyond alumni and faculty activists, vivid experiences could be contributed by students and staff members: the university security guards on duty at the Tahrir Square campus during the demonstrations, administrators involved at
the highest level of politics, deans and center directors who served on a national political advisory group, the Committee of the Wise. The oral history program has been one of the project’s most enduring aspects, continuing to the present day, with over 325 interviews conducted. The RBSCL collaborated with faculty and staff oral historians and journalism professors to develop question scripts and policy documentation like interviewee agreements. With equipment procured and recording locations and other procedures arranged, teams of student interviewers were assembled and trained. Early in the project student interviewers took part in connection with independent study work with AUC journalism professors, but the greatest number were work-study program participants.

*University on the Square* built on collaborative successes in acquisitions by working with dozens of project volunteers, mostly students, who managed booths on campus equipped with laptop computers to take in digital material, as well as donated artifacts like tear gas canisters, flags, stickers, and other souvenirs. In addition to collecting donations, project volunteers also attended the demonstrations that persisted at Tahrir Square throughout 2011 (and 2012 and 2013) to collect banners, signs, and leaflets that were prominent means of communication at those events. In keeping with the RBSCL’s tradition of developing collections by taking advantage of alumni networks and faculty donations, *University on the Square* followed Archives 2.0 principles to further engage students as project volunteers, work with faculty and staff to record and develop questions for oral histories, and solicit alumni donations.

Engagement with participants beyond AUC also enriched the project. Since spring 2011, individuals from abroad pursuing documentation, writing, and artistic initiatives about the Revolution made connections with *University on the Square* team members. A mutual exchange of information and interviewee contacts typically took place, and sometimes the AUC project lent recording or other equipment for the outsiders’ usage. Among the partners the library engaged were Canadian and German documentary filmmaking teams and a University of California honors scholar capturing images of street art and graffiti and interviewing the artists. *University on the Square* benefited when these visitors donated interviews they recorded or images or items they collected.

Other partnerships emerged as well. The professor leading University of California Santa Barbara’s study-abroad program at AUC taught classes for which the students conducted oral history interviews for the project. Some individuals who had been interviewed volunteered to become oral history interviewers themselves, or to photograph demonstrations and graffiti. International researchers using the *University on the Square* project archive also became documentation partners. Several writers and students preparing dissertations at universities abroad used AUC’s oral histories or images. They then contributed to the project by donating their own interviews and other research material, conducting oral history interviews, photographing collected project artifacts, and even preparing item summaries and
other forms of metadata. In a twist on these—*University on the Square* offered scans of political leaflets collected at protests to *Tahrir Documents*, an initiative by foreign Arabic language students in Cairo who made English translations available on their project website.

Openness to the contributions of individuals and entities beyond institutional boundaries is becoming an increasingly important way to address the enormity of tasks at hand for archivists, from collecting to describing material. A prime example of these kinds of outsourcing efforts is the British National Archives’ invitation to the general public to describe documents and images in its collections. *University on the Square* likewise benefited from its openness to expanding the nature of the traditional library-donor or library-researcher relationship to one of a partnership.

**Openness**

Beyond the Rare Books and Special Collections Library’s reliance on collaborative partnerships to build collections, the repository has also become a destination for collections whose donors considered AUC a more appropriate match than public institutions. These collections range from the papers of artists with controversial visual works and turbulent personal histories to materials produced by foreign communities and institutions in Egypt such as Voice of America’s Cairo bureau, which donated its full sound archive. The library’s open collecting tradition is rooted in donor preference. AUC’s entry into the area of special collections began in the early 1950s when leading Islamic art and architecture scholar, K.A.C. Creswell, sold his meticulously assembled book collection to AUC (he later added over ten thousand photographs of Islamic monuments in the middle east). Creswell’s donation was accelerated by his fear that his library would be sequestered by the Egyptian government during the Suez Crisis of 1956.

In a similar way, the *University on the Square* project offered an opportunity for telling stories or contributing evidence of Egypt’s revolutionary events and that they would rather not be maintained by public entities. These included donated videos reportedly depicting shootings by state security snipers or police interrogations. In the area of oral histories, it is hard to imagine that many of those interviewed by the project would have contributed their testimonies to a public entity—certainly not the student activists who raided the files of state security intelligence offices in March 2011, journalists who resigned their positions in protest over state media outlets’ coverage of the protests, politicized ultras football fans, or those who fought the police forces. Add to these hundreds of photographs depicting security forces clashing with protesters, images of graffiti and street art critical of Egypt’s military authorities, and signs and leaflets produced by the suppressed supporters of ousted Muslim Brotherhood President Mohammed Morsi. The project archive also features many posters and other printed items supportive
of General and current President Abdel Fattah el-Sisi. In collecting material like this from a variety of perspectives, AUC can preserve and disseminate national heritage without necessarily hewing to a certain narrative.

Its nature as a private institution thus gave AUC an important degree of freedom in how it carried out its documentation project, as has been the case with other RBSCL collecting activities. This is highlighted by the goal of Egypt’s National Archives to document the eighteen days of the January 25 revolution with the creation of an image and oral history archive. Despite the vigorous efforts of historian Khaled Fahmy (then chair of the history department at AUC), institutional pressures at the National Archives—in part related to a lack of internal consensus on the extent to which the material to be collected would be open to researchers—the project lapse. There were internal politics surrounding the development of University on the Square project especially at the start. As the project team began to spread the word about the project through university-wide email announcements, some faculty and students raised objections. These are mostly related to the university administration’s decision to resume classes in the days following President Hosni Mubarak’s removal. Such criticisms over the university’s perceived failure to support Egypt’s revolutionaries did not derail the project. Nor did the project or the RBSCL face internal pressures for taking in and making accessible uncomplimentary or controversial documentation, whether it be oral history interviews critical of the university or footage allegedly showing state security forces snipers atop campus buildings. With its long-established place in Egyptian society and education, AUC could be more steadfast in allowing such material to come to light.

Accessibility

AUC’s RBSCL has always boasted open accessibility to collections, welcoming researchers from Cairo, Egypt, and around the world to make use of the library’s invaluable resources. This accessibility has only improved in the digital age. In fact, the RBSCL had a number of initiatives already in progress that facilitated its documentation efforts for the 2011 Revolution. The library had entered a revolutionary era of its own, before the 2011 events, with its move into the digital age. The efforts of its staff set the stage for a number of University on the Square activities with projects to digitize and provide online access to holdings like photographs and architectural drawings. Building on this work, the Digital Collections Archivist set workflow and metadata standards for hosting digital images from donors, which was critical for the preservation and access mission of the University on the Square project.

These efforts were applied first to AUC’s DSpace institutional digital repository (the original means of hosting project material). The digital repository—established in 2009 through a partnership between the RBSCL and AUC’s academic
computing unit (originally to house student theses)—became a means of preserving and providing access to student classwork related to the Revolution, much of it prepared for specially-themed courses at AUC in the spring of 2011. The Digital Collections Archivist also supported another student effort, the wiki-based “Biographical Dictionary of the Egyptian Revolution, 2011.”

The emergence of the University on the Square project, with requirements for digital storage, metadata, and online access beyond what the library previously had in place, prompted the need and offered the opportunity for the library to upgrade its digital infrastructure and methods. At the outset of the project, this involved expanding the partnership between the library and AUC’s academic computing department, as that unit developed a project website and module permitting the public to upload their digital photographs or videos of Revolution-related events, as well as writings or artwork or even recommended websites to be preserved. In addition to the digital objects, project contributors uploaded important descriptive information, such as location, events, people pictured, and more. These details formed the basis of the digital collection’s metadata, giving archivists invaluable details about the materials submitted. In some cases, data embedded in the digital files (such as date) were more accurate than the data provided by contributors. Archivists worked to verify the accuracy of the donor-provided metadata using primary sources, such as newspaper articles, to determine when specific demonstrations took place in various locations in greater Cairo.

Uploaded images, digital materials solicited from donors in person (by transferring photographs and video footage from computers and thumb drives), and audio files created by the oral history team were housed on a storage area network (SAN) maintained by AUC’s technology infrastructure unit. Once reformatted to file types appropriate for preservation and access, and renamed according to standard naming conventions developed for the project, image and sound files were kept as preservation masters. The original file formats provided by the donors were retained and converted to the best possible formats, resolutions, and other settings as recommended by the Federal Agencies Digitization Guidelines Initiative. In most cases, videos and photos were taken on smart phones, providing us with less than ideal capture specifications; however, since the Rare Books and Special Collections Library did not control the digital capture environment, archivists agreed to provide access to the best quality images possible. For example, in the digitization lab, archivists usually create digital photographs with high quality DSLR cameras, saving in both JPEG and RAW formats. Since University on the Square is a crowdsourced project, the preservation masters are not always up to the usual standards. The oral histories are the exception. They are conducted and digitally captured as .wav files by trained volunteers and University personnel, and later edited and made available online as .mp3 files. For digital photos and videos access files are also derived from the original submissions, again according to the guidelines provided by the Federal Agencies Digitization Guidelines Initiative.
The imperative to make project material available online on a timely manner, given the substantial worldwide interest in the revolutionary events in Egypt, prompted the library to adopt online tools better suited for providing access to its holdings. The *University on the Square* archive became a flagship collection for the new Rare Books and Special Collections Digital Library. Structured along the lines of several collections featuring high-profile library holdings, the *University on the Square* section was distinctive for including the largest number of digital items and the only one populated by born-digital material. Another distinguishing feature of the *University on the Square* digital collection is that it is a contemporary collection that documents a current social and political movement. In short, it is unique in that it is cultural heritage in the making.

The digital library (powered by a hosted installation of OCLC’s CONTENTdm software) takes advantage of Web 2.0 technology such as tagging and commenting, but also makes use of powerful sharing standards such as the Open Archives Initiative Protocol for Metadata Harvesting. Archivists built on contributor-supplied metadata by applying best practices described in Resource Description and Access (RDA) and Describing Archives: A Content Standard (DACS), and controlled vocabularies, such as the Library of Congress Name Authority File and Getty Research Institute Thesaurus of Geographic Names, to promote successful harvesting and crosswalking of Dublin Core metadata to MARC formats. As a result of adhering to descriptive standards and taking advantage of widely-used controlled vocabularies, the RBSCL was able to easily harvest and crosswalk metadata and thumbnails from the digital library for inclusion in WorldCat, increasing discoverability not only in Egypt, but around the world. In fact, materials available in the *University on the Square* digital collection have been viewed 8,779 times from March 1, 2011 to May 31, 2015. One hundred thirty-nine theses, dissertations, and interviews were self-archived by students in AUC DAR Repository, the university’s DSpace institutional repository. Efforts to harvest and make content openly accessible transform local resources into a globally available content.

Web archiving represented another initiative already in place that supported the mission of *University on the Square*. A subscription to the Internet Archive’s ArchiveIt service was originally adopted in 2009 to archive the university’s own website. Websites related to Egypt’s heritage were also captured from time to time, but the captured. The immediacy of the challenges and importance of archiving web content became apparent in January 2011. During the several days in which Internet service in Egypt was drastically curtailed by the government, the library’s outgoing Digital Collections Archivist (working remotely from her home in the United States) used the library’s ArchiveIt subscription to preserve websites reflecting the events in Egypt.

Like *University on the Square*, other initiatives emerged in 2011 and beyond to document Egypt’s revolution. An oral history project focusing on the experiences of women in the Revolution by the Women and Memory Forum recorded over one
hundred interviews. *18 Days in Egypt* was a collaborative documentary project by a group of filmmakers and digital media specialists who collected images and testimonies (via online crowdsourcing) and conducted video interviews. Its website offers thematic slide shows displaying the photographs, videos, Twitter feeds, and other material from contributors. *Mosireen*, self-described as a “non-profit media collective in Downtown Cairo” was formed by a group of filmmakers and activists in early 2011 to provide online access to videos taken by participants in the Revolution, and to train and equip citizens to make their own films. It now maintains over ten terabytes of video footage related to the Revolution. While *18 Days in Egypt* and *Mosireen* have been able to maintain access to their content, some of the documentation projects that emerged could not be sustained. For example, *Qomra.org* was an ambitious attempt at a web-based geospatial presentation of the Revolution. Photographs or videos contributed by members of the public were to be plotted on an interactive map where events related to the Revolution took place; at these physical locations, passers-by could use their phones to read *Qomra’s* QR code stickers to link to a databank image of an event that took place there. As of this writing, that project’s website is no longer active.

A stable institution like AUC can offer better prospects for a sustained collecting and access; four years on, collection of Revolution-related artifacts and digital images continues and oral history efforts are quite active. The library also possesses the resources to make its holdings available into the future via its Rare Books and Special Collections Digital Library, Digital Archive and Research Repository, and Web Archive, along with facilities with conditions to properly maintain physical items. According to website traffic statistics, openly accessible *University on the Square* resources earned 40,270 page views from January 25, 2011 to December 31, 2014. The institutional commitment to preserving and making accessible cultural heritage resources empowers the RBSCL to continue to provide access to materials online and in the library’s state-of-the-art facility.

**Conclusion**

The Rare Books and Special Collections Library at the American University in Cairo has long valued many principles advocated by Archives 2.0: collaboration, openness, and accessibility. New digital tools have improved workflows and user experience, but adopting an open attitude towards collection development and donors, collaborating with networks of university community members, and promoting access have always been key tenets of the library’s philosophy and practice. *University on the Square: Documenting Egypt’s 21st Century Revolution* helped the library imagine fresh ways to collaborate with new constituencies.

Some of the ways the library pursued this, which other institutions could adapt in launching their own participatory archives project, included:

- Soliciting material for the archive from members of the institution’s
community (faculty, staff, administrators, students, alumni, etc.),
whether it be seeking donations of photographs or artifacts or conduction oral history interviews with them.

- Developing and extending partnerships with individuals or units able to lend support or special expertise, such as faculty members with contacts or specialized subject knowledge or skills, and university academic computing and technology infrastructure units.

- Enlisting students (through a component of classwork, under a work study program, or as volunteers) or other volunteers, for tasks that contribute to building the project archive such as oral history interviewing, audio editing, or writing digital image descriptions. These are jobs interesting for students that enable them to build skills and allow them to learn about some of the behind-the-scenes work of archives and special collections repositories.

- Incorporating participants in the events being documented as part of the project team participants in the events being documented: inviting individuals who were interviewed to become interviewers; seeking donations of documentation from researchers using the project archive (i.e., their own interviews, photographs, etc.).

Moreover, University on the Square stresses open access, making student and faculty scholarship on the topic of the January 25 Revolution available to researchers around the world using a variety of digital asset management systems. Students who authored the Biographical Dictionary of the Egyptian Revolution, 2011 in wiki format and the professors who graded the work, not only learned to write and cite articles, but also how to edit wikis, encouraging AUCians to interact with social media on a scholarly level. For visitors who come to the library, the banners and signs rescued from the protest sites and donated souvenirs (like a locally-produced “Monopoly” board game centered on Tahrir Square) rank as highlights of their tour of the RBSCL.

The success of the project can be partially measured in numbers: more than fifteen thousand photographs, videos, physical objects, print ephemera, scholarly works, websites, and other contributions accessed more than forty thousand times. More importantly, University on the Square: Documenting Egypt’s 21st Century Revolution reveals the potential for a special collections repository, like AUC’s RBSCL, to document events that are complicated to record but critical to national heritage. The project clearly demonstrates the importance of collaboration, openness, and accessibility for developing a participatory archive, and the value of AUC’s longstanding traditions in these areas for building a collection of international importance.


3. Ibid, 393.

**Additional Resources**


**Biographies**

Stephen Urgola has been University Archivist at the American University in Cairo since 2001, where he manages the university’s historic records, records management program, and collections of primary sources in the Rare Books and Special Collections Library. He has been coordinating various aspects of AUC’s *University on the Square: Documenting Egypt’s 21st Century Revolution* project, especially its oral history efforts, since 2011.

Carolyn Runyon is the Director of Special Collections at the University of Tennessee at Chattanooga. From 2011 to 2013, Carolyn was the Digital Collections Archivist in the Rare Books and Special Collections Library of the American University in Cairo where she was instrumental in developing the digital collection and scholarly communications content for the *University on the Square: Documenting Egypt’s 21st Century Revolution* project.
chapter eight

Creating Special Collections: A Case Study from NYU Abu Dhabi

Virginia Danielson and Michael Stoller

Following years of planning, librarians at New York University (NYU) Abu Dhabi developed the Library’s Special Collections to address five main areas of interest to the University and to the region in which it works. Librarians worked collaboratively within the University and with local institutions in the United Arab Emirates (UAE) in pursuit of mutually agreeable and important goals. Few librarians have the opportunity to create a Special Collections library from scratch. Indeed the prospect, though very exciting, also can be a little daunting. The following chapter outlines the planning, rationale, and initial execution of NYU Abu Dhabi’s Special Collections.

Beginnings

The planners of the NYU Abu Dhabi Library included space and a budget for Special Collections in the new institution, understanding that experiencing the primary sources of history, literature, and the arts would be a fundamental part of the curriculum of the new campus. This would require building special collections suited to the mission of the new campus and addressing the unique history and culture of the Gulf countries.

During the planning stages, Lucinda Covert-Vail, a senior librarian from New York, visited Abu Dhabi, its sister emirates, and Education City in Qatar to become familiar with other universities and cultural institutions in the region and their offerings. It became clear that there was an important opportunity for the NYU Abu
Dhabi Library to build special collections that would complement the holdings of those institutions and enrich the culture of the region and the education of NYU’s students.

**Developing the Vision**

NYU Abu Dhabi opened with a freshman class of 150 students in 2010 in a temporary space. Owing to limitations in space and the small size of the faculty and student body, as well as the innumerable pressing issues related to startup, building Special Collections was delayed until the new permanent campus opened in 2014. During the intervening years, the Library Director in Abu Dhabi and the Associate Dean of Libraries for Collections and Research Services in New York worked together on a plan for the collections.

Extensive work with faculty and requests from them fed the thought process planning for collections, as did the developing academic programs at the university. However, we also wanted to use our Special Collections to make a substantive contribution to the intellectual resources of the local community, following, to some extent, Emirati interests in public culture.

Although a relatively new state, the United Arab Emirates supported a number of established universities with libraries and some with graduate programs, a National Library, National Archives, Intangible Heritage program, museums, and libraries supported by individual emirates and some large private collections. For instance, the current Sheikh of Sharjah—Sultan al-Qassimi, a trained scholar—has an extensive collection of rare maps housed in its own building near the Sharjah universities that he supports. The University of Sharjah has published a book cataloging the map collection. The Sharjah Museum of Islamic Civilization houses numerous rare and historic illuminated Qur’ans. The royal courts of the seven emirates—particularly those in Abu Dhabi, Dubai, and Sharjah—are aware that they control historic documents and have initiated means to bring these under intellectual control, possibly using the model of the Windsor Castle archive in England. Although there is no managed digital storage in the country (or the region, as far as we know), a number of media outlets have respectable collections, cataloged and held on digibeta tape in climate-controlled conditions. Notable among these are the collections of Abu Dhabi Media, Sharjah Television, Sultunate of Oman Television, and Bahrein Radio and Television Corporation. The National Archives in Abu Dhabi holds documents germane to the history of the UAE. The focus of many of these collections is national or local heritage and various authorities routinely mine the collections to promote a particular sense of local belonging and identity. As a minority in their own country, maintaining and advancing a sense of “Emiratiness” in the modern world has been important since the inception of the country.

A good question is what that heritage actually is. In Abu Dhabi and Dubai, Arab nationals largely descend from nomadic tribes originating in the sixteenth
and seventeenth centuries in the Najd region of what is now Saudi Arabia. In Dubai and the northern Emirates, Emirati nationals more frequently descend from trading and fishing families whose histories differ from their nomadic brothers and sisters. All of these histories stretch into what is now Oman, creating a larger region of shared heritage, leading occasionally to disputes about national claims for what is Emirati and what is not. Furthermore, mountain populations of farmers and herders, often with quite different dialects, bring their own heritage into play. And then there are historic communities of Indians, East Africans, Yemenis, and Iranians, many of whom have resided in the country for generations, adding other colors to the history and heritage of the place.

In this context, what would make a useful new special collection? We felt our task was to find our place among existing institutions and to augment what was already being done in offering access to important resources; at the same time serving the interests of NYU Abu Dhabi’s academic programs and augmenting NYU’s resources generally. We wanted to provide primary sources for NYU Abu Dhabi’s academic programs and also build resources that will serve the country and region over time, without duplicating resources or competing with existing collections.

Initial Results: The Collections

We arrived at three broad principles to govern our planning. First, we would seek to provide a deep collection of historic sources for the study of the Emirates, the Arabian Peninsula and the Arabian Gulf countries, the Middle East, and the Indian Ocean region. Second, we would include media as primary sources; our Special Collections would be both analog and digital. Third, we would offer an appropriate and coherent sampling of rare books and related resources supporting the Euro-American topics characteristic of a liberal arts curriculum.

Attempting to realize our objectives, we launched acquisitions for Special Collections in five areas: Arab heritage, Shakespeare in translation (or Global Shakespeare), photography, Arab films and film festivals, and regional maps. First, using dealers familiar to us or recommended to us through trusted contacts, we began to develop holdings of historic publications relevant to Arabic literature and the history of the region. While local libraries, including the National Library, do a reasonable job of collecting contemporary resources, they are less successful at providing historic publications. Federal institutions tend to focus, logically, on the history and culture of the Emirates; we avoided these resources and took, instead, a broader view. A few purchases may illustrate our efforts. Our Latin edition of Ibn Sina’s treatise on medicine (Al-Qānūn fī al-Tibb, completed by 1025 C.E.), which served as a foundational document for European medical practice in the European Middle Ages and Renaissance (Auicennae medicorum arabum principis, Liber canonis… Basileae, per Joannes Heruagios, 1556) provides an essential primary source for the history of Arab science and medicine and the dissemination of
Arab thought across cultural borders. Al-Shidyaq’s *Kitab al-Kanz al-Muhtar* (Malta, Church Missionary Society, 1836) adapts a Eurocentric geography to the needs and interests of an Arab audience in the nineteenth century. José Freire de Monterroya Mascarenhas’ *Epanaphora Indica* (Lisbon, 1746–52) offers a history of Goa in the early eighteenth century, providing perspective on trade across the Indian Ocean to Arabia and eastern Africa, broadening our horizons into the world with which Arab traders in the Peninsula had contact. All three titles would probably fall outside of the collection policies of other Emirati libraries, but will contribute in a broad sense to histories of Arab thought and of the region.

In support of our liberal arts curriculum and its global impulses, we initiated a Global Shakespeare collection. In company with NYU Abu Dhabi’s Global Shakespeare Program, a collaborative effort among the literature and theater departments and public programs, this collection opens windows on how the works of the famous Bard were transformed by different societies working in various languages, sometimes by particular actors or theatrical companies. It allows a view of monumental Western literature while at the same time focusing on its global transformations. At present, we have over 200 volumes or sets in seventeen languages. We bought the first German edition, that is, the Wieland translation published by Wolfgang Gerle in 1778, one of the earliest printed translations documenting interest in Shakespeare outside of the English-speaking world. We have editions made by Boris Pasternak in Russian and André Gide in French, manifesting the work of intellectuals with material that stimulated them. We have translations that are closely linked to particular theatrical companies and performances, with visuals of stage setting and actors. And we have acquired multiple translations in the same language to illustrate changing interpretations and transformations of the works over time and in the hands of different translators.

Faculty and students used the growing collection almost immediately, and it became part of an international workshop hosted by NYU Abu Dhabi’s Research Institute in the spring of 2015. While the collection focuses on first and early editions, we have also included recent translations when important or the only manifestations of the plays in particular languages. This program carries the spirit and content of liberal arts into the global world without being a neo-colonial or missionary project.

Joining forces with NYU Abu Dhabi’s faculty and following a broad, important interest in Emirati society, we initiated a photography collection. Classic photo books such as Josef Koudelka’s *Gypsies* (Millerton, New York: Aperture, 1975) and Robert Frank’s *The Americans* (New York, Grove Press, 1959) form the foundation of our collection. We also collect historic photos from the Middle East such as William Garstin and D.S. George’s “Nile Reservoir Works at Aswan and Asyut” (1902). We intend to focus our collecting efforts in the future on photographic work from the Middle East, South and East Asia. Furthermore, the NYU Abu Dhabi Library became a founding partner in the Akkasah Center for Photography, a research
and collecting project sponsored by the NYU Abu Dhabi Research Institute. Conceived collaboratively, Akkasah complements the work of Beirut’s Arab Photography Archive. The Library provides permanent housing for the analog and digital collections acquired by the project, making use of NYU’s managed digital storage until local digital preservation storage is developed. The Library makes additional purchases in support of the project as it can. Once again, our efforts intend to augment local interests in photography—manifest in such work as Lest We Forget, sponsored by the Sheikha Sallama Foundation—by providing photographic work from regional sources, not duplicating local work already being done.

Film is also a subject of intense local interest. The Emirates sponsored, until recently, two major international film festivals: the Dubai International Film Festival and the Abu Dhabi Film Festival, the latter re-tooled in order to support more Emirati film production. Film forms the substance of one of NYU Abu Dhabi’s most popular arts programs as well. Working with faculty and local producers, we initiated a collection of all films shown at the Abu Dhabi Film Festival over the course of its twelve-year existence. We purchased copies of the feature films included in the festival as a matter of simple documentation of the event. We then focused our efforts at reaching the filmmakers who produced the short films and documentaries, in other words, the non-commercial works that are useful and highly interesting to students and film scholars. This effort led to the acquisition of related short films and should produce a respectable collection of material for the study of film in the Middle East. As resources permit, we would like to extend our work to other festivals.

Finally, we decided to build a small collection of maps, in conjunction with a digital workstation that would facilitate access to a wide variety of online maps. Serving multiple disciplines, the multimedia map collection will consist of contemporary and historic maps that will give students a sense of geospatial representations of the region. This collection will not approach the richness of Sheikh Sultan al-Qassimi’s map collection in Sharjah.

The proverbial jury remains out on the effectiveness of our decisions and the resulting collections. As these collections grow in the future, part of our mission will be to include primary sources germane to the university and to the entirety of UAE’s and the Gulf region’s population. We aspire to make our new Special Collections the bedrock of institutional identity as they are in other major colleges and universities.

1. “Special Collections.” (UC Merced Library, accessed September 19, 2015). http://library.ucmerced.edu/collections/collections/special-collections. One relatively new U.S. university, the University of California, Merced which opened officially in the Fall of 2005, approached the challenge of new Special Collections with the following mission “The Special Collections hold the UC Merced Library’s rare books, man-
scripts and other digital collections. These collections are focused largely on the varied histories of the San Joaquin Valley and on the research and scholarly interests and productions of the UC Merced academic community.” New universities in the Arab Gulf region have tended to reserve as Special Collections material considered to be sensitive or physically fragile.


4. Including The University of Sharjah, the American University of Sharjah, two teaching hospitals, and three technical institutes alongside the map collection.


Biographies

Virginia Danielson is Director of the Library at New York University Abu Dhabi. She is an ethnomusicologist by training with expertise in the Arab world.

Michael Stoller is Associate Dean of Libraries for Collections and Research Services at NYU. He is a medieval historian by training.
Managing Copyright in the International Campus Library

April M. Hathcock

Managing copyright for an international campus library is not a simple task, but it becomes much less onerous when best practices are adopted. By enacting a university-wide copyright policy, learning the relevant local laws, and aiming for the most restrictive path of action, the librarian responsible for managing copyright can achieve an effective balance between supporting patron research and operating within the dictates of the law. The ultimate goal is to create a culture of compliance that reaches across borders to every location of the global university.

Introduction

As Librarian for Scholarly Communications for a large research university, I am responsible for managing copyright for a library system that includes full campuses and academic sites in every corner of the globe. It is not uncommon for me to receive an email query from my colleagues in Shanghai at 4:30 a.m. (EST)—just before they leave the library for the day, still a few hours before I set foot in my office—with a question about the application of fair use. Likewise, it is no surprise for me to check my email one last time before going to bed to find that an academic coordinator in Tel Aviv needs help finding the university-wide policy on using copyrighted materials in research and teaching for distribution to faculty members before the start of a new semester. While I may be located in a university library in the United States, my work extends far beyond my corner of the globe.

Managing copyright for an international campus library requires a global focus. My colleagues in Shanghai need more than a standard U.S. answer about the
application of fair use; fair use in the People’s Republic of China is entirely different. Fair use in the U.S. is based on a flexible four-factor test that balances the purpose and character of the use, the nature of the copyrighted work, the amount and substantiality of the work used, and the potential market effect of the use. In China, fair use is far more concrete; it goes beyond the balancing of four factors to detail twelve specific instances where a work may be used without permission, including to translate the work from the Han language to a minority dialect or to convert the work into braille for the visually impaired. My response to my Shanghai colleagues needs to bear in mind the differences between these two copyright regimes and consider how those differences could play out for a U.S. university operating on Chinese soil with resources and material being used and posted online.

The same dual-jurisdictional considerations must inform my response to the academic site coordinator in Israel. While the university-wide policy on using copyrighted material may apply to all faculty and staff, there are certain country-specific considerations that have to be weighed in any copyright-related communication to faculty working overseas. In Israel, for instance, copyright law is largely similar to that of the U.S., including the exceptions that exist for libraries and other educational institutions. Israel even adopts a fair use analysis nearly identical to that of the U.S. four-factor test. However, one clear difference between Israeli copyright and U.S. copyright is the protection of moral rights. In Israel, moral rights, or rights of attribution, subsist in all copyrighted works (artistic, literary, musical, or dramatic), whereas in the U.S., moral rights only subsist in visual works. Thus, faculty and staff working in Israel need to know that part of their responsibilities as users of copyrighted material includes respecting the moral rights of rights holders and attributing work they use appropriately. Failing to do so would be an actionable infringement of the owner’s copyright.

These issues are just two examples of the many and varied challenges that can arise when managing copyright compliance and education for an international campus library. With so many different legal jurisdictions involved, not to mention the added complication of digital materials and online teaching and course management, it can be difficult to imagine a wholesale method for effectively approaching and dealing with copyright in a global university library. What kind of guidelines and best practices can a copyright specialist adopt when dealing with a subject that depends so heavily on location and specific circumstances? This chapter will address this question by taking a broad view of best practices for managing library copyright across borders. While it is true that copyright differs from one jurisdiction to the next, there are a number of common practices—from developing an official university-wide copyright policy to providing easily accessible resources on copyright guidelines—that are essential to ensure all campus libraries, regardless of location, operate well within the auspices of the law.
Enact a University-Wide Policy

The first and perhaps most crucial step is to develop and enact a university-wide policy on the use of copyrighted materials. While this endeavor will ultimately rest in the hands of university administration and counsel, libraries, as the largest providers of copyrighted material to the university community, are essential stakeholders in the development of such a policy. So much of the work that a library does—from providing access to materials to providing guidance on the lawful use of those materials—overlaps with the practices and guidance that will naturally form the body of a university copyright policy.

There are two related outcomes for creating a university-wide policy on copyright: the first is to ensure consistency across the research community and the second is to provide a layer of protection for the university. Having a universal policy regarding the use of copyrighted materials sets the tone for what is and is not permitted in the course of university business. When these boundaries are well established, the copyright concerns of stakeholders both within and without the university can be met. As it relates to external stakeholders, a universal and well-defined policy informs them of the university’s stance on copyright compliance within its community. For internal stakeholders, a clear policy provides much needed guidance on how to comply with copyright restrictions while still fulfilling the educational and research mission of the university. What is more, there are some copyright allowances that require the presence of a university-wide policy before being applied to certain educational uses. For example, the Technology, Education, and Copyright Harmonization (TEACH) Act in the U.S. allows for certain face-to-face instruction activities to be applied in an online context, but only in a nonprofit educational institution that has an institutional copyright policy in place.5

While any university-wide copyright policy for a U.S.-based institution will likely be based on U.S. copyright law, it is important that the policy apply equally to all university faculty, students, and staff regardless of their location. Understanding local copyright law is essential (as discussed in the next section of this chapter), but having a university-wide policy helps to set a baseline for copyright considerations and decisions. A universal policy—even one based solely on U.S. law—provides a starting point for faculty, students, and staff, regardless of their location, to begin thinking and talking about copyright and how it applies in an educational setting. There is a delicate interplay between U.S. and local rules when dealing with copyright in an international campus library. Beginning with a clear statement on U.S. policy facilitates that interplay.

With this in mind, it is imperative that the university policy be detailed and elaborative, going beyond a mere exhortation to follow the dictates of the law. NYU’s Policy Statement on Educational and Research Uses of Copyrighted Materials was expressly created “to support NYU’s educational mission and rights un-
der copyright law, while minimizing the risk to the NYU community of copyright infringement claims”; and to that end, the Policy aims “to assist members of the NYU community in determining answers” to their copyright questions in an educational and research context. The Policy paints a broad picture of U.S. copyright law, as it relates to education and research, with a discussion of general copyright principles followed by an overview of the public domain, fair use and safe harbor guidelines, classroom performances, and licensed and open access materials. The appendices to the Policy contain more in-depth explanations of fair use and the classroom safe harbor guidelines, with practical examples of their application. Thus, the Policy serves the dual purposes of protecting the university and providing copyright guidance for a global research community.

Learn Local Library Limitations and Exceptions

The second practice to adopt for effectively managing copyright in the international campus library is to learn the local copyright law, particularly as it applies to libraries and educational institutions. With a clear university copyright policy based on U.S. law in place, the natural next step is to ensure a sufficient understanding of the limitations and exceptions provided for information and cultural institutions in the local nation. It is not necessary to become an expert on all aspects of local copyright law, rather the goal should be to become fairly well-versed in the specific ways in which local copyright law expands or restricts the functions of the academic library.

By far, the best resource for national copyright laws relating to libraries is Kenneth Crews’ Study on Copyright Limitations and Exceptions for Libraries and Archives, compiled for the World Intellectual Property Organization (WIPO) in 2008 and again in 2014. Crews reviewed the copyright laws of a total of 186 countries, finding library exceptions in 153 national statutes. In particular, he looked for the following exceptions to copyright protection:

- General library copying
- Copies for research or study
- Copies for preservation or replacement
- Document supply or interlibrary loan
- Copy machines on premises
- Limitation on remedies
- Circumvention of technological protection measures

The majority of library exceptions existed in the areas of copies for research or study, copies for preservation or replacement, and document supply or interlibrary loan; however, there were areas of exception worth noting. For example, several EU (European Union) and non-EU countries adopted an EU directive
allowing libraries to create and make available digital copies of materials at dedicated on-site terminals. In addition, several nations created library exceptions to their relatively new statutes on anti-circumvention of technological measures. On the other hand, Crews noted that between 2008 and 2014, fewer statutes focused on providing exceptions for library copy machines or limitations on remedies. Clearly, the focus of worldwide library exceptions to copyright has been shifting away from the physical to the digital collection.

In addition to providing a broad overview of common trends and developments in national copyright laws, the *Study on Copyright Limitations and Exceptions for Libraries and Archives* contains detailed descriptions of the library exceptions in force in each country studied, as well as citations to the relevant statutory provisions. Crews’ Study is an invaluable tool for any professional managing copyright for one or more international campus libraries. It is a one stop shop for learning about local copyright laws and how they affect the day-to-day functions of the academic library.

**Aim for the Path of Most Restrictiveness**

Once the university-wide copyright policy is in place and there is a basic understanding of how local copyright law affects the function of the international campus library, the next step is to achieve a legally sound balance between the U.S.-based university policy and the mandates of the local national law. In that regard, the best practice is to aim for the path of most restrictiveness when determining where a particular use of copyright material would be permissible.

As with any copyright determination, the ultimate goal is to engage in an accurate risk assessment to weigh the importance of the use against the chances of a formal claim of infringement. This type of assessment becomes even more complicated by the fact that much of what all libraries do, whether in the U.S. or abroad, takes place in an online environment. It is no longer a simple matter of making physical copies of a book at a copy machine in a particular library location. Materials are constantly being shared in the cloud, across any number of physical boundaries. The international campus library can share in the collection of the U.S. campus library just as easily as if it were located in the same zip code because of the Internet.

This being the case, copyright infringement claims in an online context have no clear jurisdictional boundaries, making it difficult to conduct a fully accurate assessment of risk. Copyright owners, as potential plaintiffs, have their pick of jurisdiction when dealing with claims of infringement that span across jurisdictional lines in an online environment. For instance, if a copyright owner claims
that the Tel Aviv campus library of a New York-based university has unlawfully posted her material online, she can choose to sue the university in Israel or the United States under either Israeli or U.S. law. For the professional responsible for managing copyright for both the New York and Tel Aviv campuses, there would be no way of guessing when or from where a potential complaint would arise. As Kevin Smith notes in his book *Owning and Using Scholarship: An IP Handbook for Teachers and Researchers*, “[T]he online environment can be a very uncertain place, posing the risk of having to account for many different national laws when contemplating an Internet presence or online activity.”

Never is this truer than for the U.S. university with a campus and library overseas. While the U.S.-based university copyright policy helps to set a baseline for discussions and considerations of copyright issues, national law plays an equally important role in assessing the risk of any online activity. The challenge lies in balancing the two so that there is a manageable level of risk on both fronts, in the U.S. and abroad. With this goal in mind, the best practice to adopt is to aim for compliance with the most restrictive of the relevant copyright provisions. By ensuring the highest required level of compliance for any particular online activity, the risk of an infringement claim becomes markedly reduced. For example, in China, posting full-text copies of others’ scholarly material online is a practice that is rarely met with reprisal in terms of copyright protection. Copyright holders are not known for being litigious, and the reproduction of scholarly work online is such a common practice as not to raise any calls of infringement. In the U.S., however, this practice would most certainly cause trouble for the university. The copyright infringement suit against Georgia State University by several large scholarly publishers serves as a prime example. Thus, for the Shanghai campus of our U.S.-based university, we strongly discourage instructors, librarians, and other scholars from posting full-text material online, especially on the open web. Instead, we encourage them to provide permalinks from relevant databases or to use carefully chosen excerpts in keeping with U.S. standards of fair use. Ultimately, our goal is to aim for the most restrictive copyright practices in any given situation by combining the mandates of both U.S. and local law.

It is important to note that this practice of aiming for the most restrictive path is only feasible when addressing activities on a case-by-case basis. It is not reasonable to expect to comply with the most restrictive of copyright laws at all times and under all conditions. Nothing would ever get done! Rather, by encouraging members of the library staff (and the overall campus community) to check in regularly for guidance on the use of copyrighted materials, each use can be evaluated in light of its location, jurisdiction, and other surrounding circumstances to determine the best course of action for a manageable level of risk. The key is to make it easy for people to seek guidance while aiming for the path of most restrictiveness.
Create a Culture of Compliance

The ultimate goal in managing copyright for the international campus library—from enacting a university-wide policy to learning local laws and aiming for the path of most restrictiveness—is to create a culture of compliance that extends beyond the library to the campus community at large. The best way to do so is to provide plentiful and easily accessible resources that allow staff and the research community to find answers to their copyright concerns. Library staff and users need to know where they can turn for help with all their copyright questions, from the most basic to the most complex.

At NYU, we have a number of resources available to respond to the copyright education needs of the Global Network University. In addition to the university-wide copyright policy discussed earlier, there are two copyright research guides—one for copyright basics and the other for authors and creators—that provide a starting point for exploring questions about copyright.

Figure 9.1. Screenshot of “Copyright Basics” research guide. http://guides.nyu.edu/copyright.

The guides are based in U.S. law, but they also provide links for contact directly with me or with our Fair Use listserv. Through the Fair Use listserv, members of the NYU research community, regardless of location, can seek guidance from me, as moderator, and other librarians and administrators on the use of copyrighted material and the protection of their own copyrighted works. When necessary, we
refer questions to the University Office of General Counsel with which the Division of Libraries enjoys a close and effective working relationship. Thus, international campus faculty, students, and staff, both within and outside of the library, are surrounded with the resources they need to navigate the complexities of copyright in a U.S. university operating abroad.

Managing copyright for an international campus library is not easy, but the task becomes much less onerous when the best practices discussed in this chapter are adopted:

- Work with university administration and general counsel to build a robust university-wide copyright policy.
- Take the time to learn how local copyright law addresses the functions of the academic library.
- Assess each potential activity with a view to taking the path of most restrictiveness, especially for online activities. In some cases, that will mean applying U.S. law in a foreign context.
- Create a culture of compliance by providing easily accessible resources to address copyright questions and concerns.

With these steps, any librarian can attain an effective system for copyright management in the international campus library and throughout the global university.

Acknowledgment

Heartfelt thanks go to Betty Evans Hathcock, MA, for her invaluable assistance in revising the manuscript for this chapter.

5. Copyright Act of 1978, § 110(2).
Biography

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SECTION 4:

Developing Reference and Research Services on International Campuses
Reference and Research Services in a Global Campus Environment

Scott Collard, Ilka Datig, and Amani Magid

Libraries at the three main global campuses of New York University (NYU)—New York City, Abu Dhabi, and Shanghai—respond to user needs via an interconnected web of services. Though there are differences and distinct areas of focus for each of the campuses, there are also enough similarities to make sharing of service provision both manageable and necessary. In this chapter, the authors describe how NYU has attempted to create a service network for our users that takes advantage of local expertise, scales service capabilities through sharing, and further extends offerings through global-level services. These concentric circles of service exist to serve the greatest number of NYU users while lessening the need for site-by-site duplication of services. The authors elaborate on the interplay of services, and focus specifically on the more mature partnership between New York City and Abu Dhabi, as a way to illustrate some of the service dynamics at play.

Introduction

New York University Goes Global

In 2010, New York University opened its first global campus in Abu Dhabi, the capital of the United Arab Emirates. This full degree-granting NYU campus that focuses on providing a highly international student body an honors-level under-
graduate experience both expanded on and completely reinvented NYU’s approach to global education. NYU had long had study-away centers at sites around the world, but the Abu Dhabi campus—and the Shanghai campus that joined it in 2012—were different: standalone centers of excellence, distinct in their own identities, and yet completely integrated into the life of the University as a global entity. The students, faculty, and researchers at the global campuses would be of the highest quality, and their work would be supported by a seamless array of technology, access, and library resources and services.

Six years into this grand experiment, the reality largely matches the original vision. The campus in Abu Dhabi has graduated two classes, Shanghai is heading into its first junior year, and the thirteen campus sites provide additional options for undergraduate and graduate programs, study away, and independent research by faculty and doctoral fellows. Moreover, the NYU community by and large enjoys a level of mobility, access to services, and a robust technology network that is truly impressive given the short time of its existence.

In this chapter, we discuss the ways NYU Libraries staff at the main campuses in New York City and Abu Dhabi work to provide reference and extended research services to NYU students and faculty. Because of the origin and makeup of our campuses, there are numerous opportunities for both specialized, locally-relevant services and network-scale services. These services may be conceptualized as concentric circles that allow for a range of options at the local, shared, and global levels. In addition, this chapter explores some of the details of service in New York City and Abu Dhabi to further elaborate the ways our services are structured and interact, and where gaps and opportunities for further development exist.

**Concentric Circles of Service**

**NYU Abu Dhabi Library**

As NYU’s first foray into a global campus—and the more developed of NYU’s international libraries—it is instructive to pause for a moment to describe the Abu Dhabi library as it now stands, both to paint a picture of the environment, but also to set the stage for the discussion to come on how the global campus libraries fit together. The Abu Dhabi Library provides a variety of services to meet the ever-growing needs of the scholars on campus. The library’s mission is “Service to Scholars,” which includes students, researchers, and faculty. One of the major considerations that informs reference and research services at Abu Dhabi is the incredible diversity of the scholars at the campus. The class of 2018 alone represents seventy-nine distinct countries, with the entire student body containing 107 nationalities. With this diversity comes unique needs, including the need for strong services and outreach programs. Some students have extensive experience using university libraries while others have never used an academic library at all. A good
number of them are surprised to learn that librarians are available to help with research, not merely organize the books on the shelves. Likewise, as our faculty also come from many different countries, we refrain from making assumptions about their knowledge of academic libraries. In many cases, we provide far more services than the libraries faculty are used to dealing with in their home countries. In fact, the Library’s emphasis on personalized service extends to all the NYU Abu Dhabi community, including faculty and staff. The NYU Abu Dhabi Library must carefully take these realities into account when planning and developing services. There is a premium on maintaining a friendly, approachable manner and emphasizing the assistance that librarians can provide throughout a given scholar’s research process.

The Library promotes its global services through various communication avenues. It has created a visual identity illustrating the alignment of campus with local excellence and global connections. The public-facing website is in both English and Arabic and the library uses the same catalog as the New York campus for resources, but in Abu Dhabi the look and feel is adjusted to match the visual identity and the logo appears in both languages. The logo is used on all handouts, posters, signage, and advertisement for library events, helping to establish the library’s presence on campus and to brand the library in a consistent fashion. The approach to communication through visual identity is essential in establishing the NYU Abu Dhabi Library as part of both Abu Dhabi and the larger New York University Libraries system.

An Emerging Model of Service

From the start, the NYU Libraries wanted to emphasize that the Abu Dhabi library was of a piece with the library in New York—a fully networked entity, connected and integrated with the more established campus on Washington Square. There has been, over the intervening years, a significant amount of work done to live up to this, and though work remains to be done, many of the service operations are growing closer to achieving this vision.

A useful schematic to conceptualize how the various services interrelate is to imagine them as concentric circles. At the core, in the inner-most layer, circle one, all campuses individually provide a number of key or locally-relevant services to their local clientele (like in-person reference or technology help, special services related to local space needs, and more). One step out in the model is the shared services layer, circle two, where staff at all campuses collaborate and coordinate a set of services that flows omnidirectionally to all NYU users. In the outermost layer, circle three, are services specialized enough to require additional staff, expertise, or functionality that cannot be replicated at all campuses within the network, and so are delivered unidirectionally from one of the campuses to all the others.
This is not a static model. For example, though NYU Abu Dhabi began without staff devoted to helping users with quantitative and geospatial data, evolution in the curriculum necessitated a staff member on the ground with expertise in this area to augment available services. In this case, a global circle 3 service migrated to being a local circle 1 service. Likewise, all campuses have expanded virtual reference hours to encompass the sweep of 24-hour service, essentially an adjustment of the percentage of circle 2 service in our service hours. And of course, the boundaries between these circles are permeable—frequent collaborations and conversations between librarians at the campuses illustrate an interconnected staff, fluidly adjusting to user needs and queries in real time.

**Service Descriptions**

*Basic Reference Services at the Local Campuses*

Providing reference services gives us a particularly illustrative case to examine this model, especially between the New York City and Abu Dhabi campuses. The libraries at both sites offer a fairly standard set of physical reference services and
activities, with some nuances and peculiarities local to each. In New York, patrons arrive at a large open desk in plain sight of our large entryway and atrium, staffed by one or two professionals. Users at this service point can expect to get reference help with projects, directional and referral information, and some limited technical assistance (backed up by our computer center for more intensive technical help). The desk is staffed by a combination of subject specialists and staff from our reference and instructional units, and has generally long open hours, 10:00 a.m. to 10:00 p.m. during the busy season. Though reference desk traffic has declined, the scale of our user base translates into a fairly busy environment. This service sits firmly within a circle 1 model, where it focuses on and responds to local needs and exigencies.

At the NYU Abu Dhabi Library, too, we find locally-focused, circle 1 reference services. Abu Dhabi utilizes a single, prominent, unified desk that serves as main point of entry regardless of users’ needs. Here the design of the desk is a large, open circle, which allows differentiation in the type of service offered at the front and the back. The front of the desk, which faces the entrance to the library, is the circulation side and staffed by library assistants. The back of the desk is the reference side, staffed by librarians. The reference side of the desk is staffed from 10:00 a.m. to 5:00 p.m. each weekday, while the circulation side is staffed whenever the library is open (including late-night weekday and weekend hours). In all external communications the desk is simply referred to as the Information Desk to prevent confusion among our users. All library staff are trained to know what types of questions should be directed to which side of the desk.

Due to the international diversity of students and faculty at the Abu Dhabi campus and the fact that many of them may be unsure what services are available from this kind of library and staff, there is a certain amount of informational signage on both sides of the desk. The sign on the circulation side lists basic circulation requests such as checking out books and media, picking up hold requests, and finding items on reserve. The reference desk signs focus on the types of research needs with which librarians can assist, such as finding books and other resources and citing sources. Like in many libraries, users are often hesitant to ask a question because they feel they may be “bugging” the staff, so both signs say, “Please Interrupt Me!” The signs serve as a visual reminder that assisting users is one of the primary responsibilities of an American-style academic library and help reinforce the fact that librarians will be helpful for everything from discovering and refining a research topic to finding relevant resources and citing them using proper citation style.

To further reinforce the understanding of the library’s role in the life of Abu Dhabi users, librarians also offer tours to all new students during freshman orientation to give them an overview of the resources and services available. After the library moved to the University’s new campus on Saadiyat Island in the fall of 2014, widely publicized tours by librarians were offered twice daily for the first few weeks of the new semester. These efforts are supported with a series of four
documents aimed at users, “11 Things the Library Can Do for Faculty,” “11 Things Students Can Do in the Library,” “10 Things the NYUAD Library Can Do for Researchers,” and “NYUAD Library Information.” These one-page bulleted documents highlight services the library provides to each of the different populations on campus. The director of the library also orients all new Abu Dhabi faculty to the library website and available resources and passes on contact information for their respective liaison librarians and other key personnel.

**Shared Virtual Reference**

In the physical reference services described here, Abu Dhabi librarians seek first to understand and contextualize services based on their local clientele. Where virtual reference services are concerned, however, the approach has become more fluid and collaborative, and pushes into that circle 2 category. All three campuses share a single virtual reference service and brand—Ask a Librarian—to provide email, real time chat, and SMS functionality. By sharing the service between all three campuses, the Libraries not only get the advantage of longer coverage hours for the whole NYU community (by adjusting service to local time zones in these geographically dispersed campuses), but also a better connection between services at the campuses. In particular, the use of one system allows the libraries to understand uniform metrics about our services, increases knowledge among staff about the entirety of the NYU universe, and presents opportunities to align training and orientation materials for staff. Most importantly, the libraries have been able to promulgate a unified philosophy and approach to reference services, where interactions are guaranteed to be handled by an “NYU native” almost 24/7, a distinct advantage in a complicated environment.

**In-Depth Consultation Services**

The concentric circle model is useful for understanding reference and information services that go beyond the general, including in-depth consultation services with a subject specialist. For these needs, the libraries use a hybrid approach which takes advantage of local knowledge when possible, but may call upon knowledge in the rest of the network for expertise unavailable locally.

The campus in New York has long had a subject-librarian liaison program and structure to support the needs of users in NYU departments and programs. The thirty-five specialists tend to be vertically integrated into the lives of their departments: working closely with faculty and students to understand needs, build relevant collections, and provide assistance of various kinds. Subject liaisons participate in the general reference activities of the library, but, in New York, also handle a growing business in off-desk consultations where deeper and more substantive
assistance is required. Connections may be made via liaison activities with a department (for example, following an instructional session for a faculty member’s class), via a robust referral philosophy at our service points, via our website and Research Guides, or through other means.

Likewise, in Abu Dhabi, members of the Research Services department fulfill a liaison role: communicating directly with faculty, helping to build the Abu Dhabi collections, and providing in-depth consultation service by taking referrals. If a professional stationed at the reference desk determines a user needs in-depth help from one of the eight liaison librarians, there are several options for referral. The librarian at the reference desk may call a subject librarian directly at their office, who can then choose to meet with the user at the reference desk, at a public computer, in their office, or in the general Research Services space. If the relevant librarian is not available, the user can be given their contact information and/or the URL to the most appropriate online research guide.

Subject-based liaison services in Abu Dhabi take many forms, and liaisons are involved in an ongoing effort to create solid connections with their disciplinary users. To take the Science and Engineering liaison as an example, this includes everything from attending departmental seminars and a weekly research lecture series presented by postdocs and staff to disseminating a monthly newsletter to highlight pertinent library resources, services, and updates. This liaison visits the scientists twice a month at their lab site for Science Librarian Day, during which she is available to answer questions and provide on-demand training sessions in various library resources including database searching tips and citation management software. As a result of this relationship building—and strong connections to the administrative personnel in the departments—new staff and faculty in the sciences are contacted for a library tour and faculty candidates are given an overview of library services and resources during the interview process. This level of relationship building affords the science liaison opportunities to learn of new research taking place in the community, and also aids with collection development. Lastly, the science liaison also works to connect with undergraduate science students, acting as co-editor of the Health & STEM newsletter (a newsletter produced by the Career Development Center on campus) and writing a column in which she discusses library resources and events of interest to the science students.

Occasionally, if a specialty is not covered by local liaisons or there is a subject information need that goes beyond the expertise of the Research Services team, the librarians in Abu Dhabi may refer a user to a colleague in New York. For example, New York has a Slavic Studies librarian whereas Abu Dhabi does not. By backing up local service provision with a global connection to specialists elsewhere, our users can access a broader array of expertise. Subject specialist networks are one of the easiest methods for moving reference services back and forth between circle 1 and circle 3, and they help staff fulfill a service goal of meeting the information needs of any user that might walk in.
Asynchronous Help

Providing subject assistance is something that happens asynchronously via sets of pages and guides to help users navigate library resources. Here too, the New York and Abu Dhabi libraries are developing a hybrid approach. Both campuses, using the LibGuides system, create research guides designed to support in-depth needs in particular areas and for particular purposes. When the Abu Dhabi campus first launched, the two libraries had separate systems for creating and maintaining guides. In the last two years, we have moved to a shared model wherein all guides are created within the same system, thereby increasing the ability of authors to share and collaborate on guide creation. It is safe to say making the research guides a truly shared, circle 2 resource has been deliberate and strategic (and sometimes slow!). There is significant ongoing work in unifying the approach, governance, and editing practices of the guides, work that is led by co-chairs drawn from the two campuses. The goal now is to allow authors across the system to create guides that take advantage of the range of expertise available throughout the NYU Network and also create best-in-breed guides for repetitive, non-specialized content (for example, a guide to using RefWorks), thus reducing clutter and overlap.

Of course, librarians at both campuses must be able to create content that meets needs at their specific campuses. Whether for subject areas that only exist at one campus (particular programmatic emphases requiring more local treatment) or for specific classes or user groups at a single campus, the approach to guides must be flexible enough to handle numerous use cases. For example, the relatively small student population in Abu Dhabi (about nine hundred students) means Abu Dhabi librarians expect to interact with each and every student. This goal has further translated into the library’s push to create guides for all majors offered at the school. The guides are often created in collaboration with faculty and serve as a one stop shop for students to access different library resources in their fields. Because most librarians promote these guides when teaching in-class library workshops and because all students in Abu Dhabi must complete a capstone project prior to graduation, librarians can use these major-based guides when meeting with seniors in class or in individual consultations. The meetings are a good opportunity to point students to library resources that will help them with their project, including the guides for their major. Going further, the Abu Dhabi Library has now created a new capstone webpage for the students that lists each major, the LibGuide created for it, and a picture and contact details of the librarian who is a liaison for that major. This Capstone page is located in the same intranet portal of the university website in which students will submit their capstone proposals. Launched in October 2014, this page will increasingly be used by the librarians in their meetings with senior and junior students.
Partnerships in Other Services

In both settings, there are a number of extended partnerships for service. In New York, there are some services within the libraries proper (including a dedicated technology and computing help desk, a library privileges operation that facilitates space use, and more) that provide ancillary services to our users. For the most part, however, the scale of the New York operation is such that many basic services (writing help, career services, student computing, and more) have their own dedicated offices and services elsewhere on campus, and may operate without much library collaboration.

In Abu Dhabi, on the other hand, there is a much tighter collaboration in providing these affiliated services. One collaboration that continues to grow is with the NYU Abu Dhabi Writing Center. The Writing Center—which offers assistance to students at all stages of the writing process and teaches basic, freshman-level writing courses as well as advanced classes—moved into the Research Services department in the library in the spring of 2015. The student-centered goals of this move are to help more students in their writing and research projects, and to make referrals between librarians and the Writing Center relatively seamless. Abu Dhabi librarians have collaborated with the Writing Center in several instructional efforts, including one-shot instruction sessions taught by a librarian which cover the basics of developing a research topic and using library resources such as the catalog and databases. This collaboration has gone further through a collaboration on a popular, twice-yearly event titled “The Long Night Against Procrastination.” During this very popular event, the library is open much later than usual (until 3:00 a.m.) and is staffed by both librarians and Writing Center assistants so students may get help with their writing and research.

In another interesting service partnership, Abu Dhabi librarians collaborate with the Academic Resource Center, and particularly with the Global Academic Fellows (GAF) group. GAFs serve as teaching assistants in many of the classes and as tutors in the Writing Center, specializing in subject areas such as social sciences, writing, or science. The Abu Dhabi librarians provide GAFs with an orientation to the library and its resources at the beginning of every academic year to make sure they know what students have access to and to ensure they feel comfortable referring students who come to them. Librarians use this venue to help GAFs understand they have access to a rich set of subject and technical specialists and that these specialists are prepared for referrals along their specializations. Naturally, librarians occasionally assist GAFs with their own research projects, outside their teaching responsibilities, and this has been effective in terms of building good relationships.
Research Services

Depending on the request at hand, many of the reference and consultation services above may move into the category of research services, which we define as “services supporting our users’ research agenda by providing enhanced or deep assistance that requires specialized expertise, technical knowledge, and programmatic development.” Research services of various kinds are provided locally, but many of these services have components that live in the outermost third circle of service. In other words, they are services for which expertise is more thinly distributed across the institution, and not necessarily duplicated at all campuses, due to resource allocation, efficiency, and scale of demand. In addition to core services like subject specialists, these services include assistance for users dealing with data of various kinds, users interested in emerging modes of digital scholarship, and other services designed specifically with users like graduate students and faculty in mind.

A good example of this dynamic can be found in our approach to supporting users of data. The NYU Libraries has a growing program and a Data Services department to support researchers looking for, analyzing, or managing quantitative, qualitative, and geospatial data. Through consultation and instructional activities, staff work directly with researchers to assist with projects and investigations, teach them how to use new software packages, and help them create more sustainable data management and curation practices. In New York, these services have grown up over the last six years. We now have the capacity to support a wide range of needs across the data lifecycle—from collection to analysis to dissemination. These services have been available to all NYU users from the start of NYU’s global approach, but in 2012, responding to needs at the Abu Dhabi campus, NYU hired a Data Services Librarian to assist locally as well. This librarian handles the lion’s share of consulting and instructional support for Abu Dhabi, but the depth and breadth of the Data Services staff in New York provides backup service, as well as a layer of specialization that cannot be easily reproduced. Data finding and acquisition, analysis using statistical tools not supported in Abu Dhabi, and assistance in survey design and deployment have all been growing areas where New York staff work directly with Abu Dhabi users. This assistance usually takes the form of consultation via email or video conferencing, often with the involvement of the Abu Dhabi Data Librarian. Interestingly, because many upper-level Abu Dhabi undergraduates work on substantive capstone projects during their study-away year—which often takes place in New York City—Data Services frequently assists them in person before they return to their home campus.

Services oriented around the rubric of digital scholarship—everything from scholarly communications to new forms of publishing to digital humanities projects and more—are also supported in both locations, with some differences. Many of NYU’s core technology services for humanities have existed for years in New York (via a service called the Digital Studio) and these were, in some ways, the
template for Abu Dhabi’s Center for Digital Scholarship (CDS). CDS staff (including the aforementioned Data Services Librarian) are positioned to provide in-depth and hands-on assistance to faculty and researchers, but in Abu Dhabi also act as a conduit to software, the Learning Management System, and more. As in the example of Data Services, there are certain roles in New York (for example, a Scholarly Communications Librarian) not duplicated in Abu Dhabi, so staff maintain strong connections to draw on each other’s expertise. This is all the more important where faculty are concerned, as part of NYU’s global approach is predicated on a certain amount of faculty and researcher mobility across the global campuses. Providing a seamless technology support environment is a key goal. The particular needs of research computing make even more acute the need for strong collaborative partnerships between the libraries.

A last area of concentration, one that has only just begun to grow, is in support of specific classes of researchers. Though strong liaison work goes a long way towards meeting needs of faculty researchers, there is growing awareness that needs of graduate students are qualitatively and quantitatively different and that programmatic approaches to meeting their needs are warranted. In New York, the library has been working on a number of instructional, service, and space initiatives for the past seven years to help create and maintain a more cohesive support network for graduate students. In Abu Dhabi, the concentration has been on undergraduate education. The birth of a number of graduate programs—and the swelling ranks of grad-like postdocs in science lab environments—has pointed to the opportunity to expand or adapt some of the New York programs in ways that would pay dividends for populations there. The Abu Dhabi library began to provide an orientation to all new graduate students in the summer of 2015. Because all these new graduate students, at this point in time, are in the science or engineering fields, the orientation is conducted by the Abu Dhabi subject specialist in science and engineering. A new guide has been created to cater to both grad students and postdoc students since their information needs are similar. In addition, all librarians who serve postdocs and/or graduate students are pointed out in the guide so these specialized populations may rest assured there is an information specialist who can assist with their needs.

Indeed, this example illustrates how much further we have to go to knit together our campuses. There are a number of areas our libraries could explore to create a better experience for our researchers. For example, can we create systems that help us better understand who is moving around the network and when, and thereby provide a better service handoff? Can we find new ways to scale specialized instructional and consultation services, across a network of three campuses and thirteen NYU sites in multiple time zones? How best do we foster multidirectional connections that allow users in New York to take advantage of expertise in the global campuses? There are many opportunities that have yet to be explored in building a truly global approach to research service support.
Training and Collaboration

Developing this model, moving in fits and starts, has often proved challenging. A strong network of service depends on reliable connections between service providers. It has taken some time to get to the point where regular communication between counterparts and colleagues at the two institutions is routine and expected. And there is still much to be done.

There are many dimensions to creating this kind of connection, both in training and in ongoing working relationships. Where onboarding and orientation are concerned, it has become routine for each newly hired librarian at the NYU Abu Dhabi Library to spend time training with colleagues in New York. For reference librarians, this involves spending time with the liaison librarians in the subject areas they will cover in Abu Dhabi. During this training period, colleagues meet to discuss instruction, collection development, and other issues related to liaison work, and use the time to experience some of the shared services from the New York point of view. This may involve sitting with a librarian during a chat reference session or shadowing a librarian at the main reference desk. Ideally, Abu Dhabi librarians have a chance to develop a collegial rapport with their counterparts that provides opportunities for exchange and advice, eases student and faculty referrals, and keeps all colleagues working with shared an understanding and knowledge base. Without this kind of exchange, the shared reference and research services described would not be possible. Knowledge of New York library services allows Abu Dhabi librarians to succeed in chat reference encounters with New York-based students working in the middle of the night, to counsel those many Abu Dhabi students who choose to study away in New York, and to prepare faculty and other researchers moving around the network for what they will encounter outside their home campus.

Outside of dedicated training visits, librarians at the two campuses collaborate in other ways including shared projects and committee work. All librarians, regardless of location, serve on at least one committee regarding the NYU Libraries Strategic Plan, 2013–2017. This plan, which consists of eight strategic goals NYU Libraries aims to achieve within the five-year time period, includes the widest range of perspectives and ideas. It puts front and center our desire to be a truly integrated global library network, and provides an opportunity for broad-based work on initiatives that reflect the values and priorities of the whole of NYU Libraries. In addition to this work, all of the librarians are members of other NYU Libraries committees, be they web page design, citation management tools, virtual reference, or technical services.

It is useful to note that NYU uses several tools to assist with all this collaboration around the globe, from access to a handful of high-quality video conferencing rooms scattered around campus to consumer-grade tools like Skype, WebEx, and Google Hangouts. Due to the time difference, video conferencing often requires
flexible work hours—which every librarian at Abu Dhabi is especially aware of upon hiring—and planning on the part of New York librarians. We have found out the hard way that if the Skype conversation takes place during a group meeting and the majority of the group is in New York, it is very important to schedule a room with a strong wireless signal to avoid calls being dropped or frozen. For document sharing, NYU Libraries uses a shared institutional wiki, as well as Google Drive, which has proven to be an exceptionally useful tool for working on documents between global colleagues.

Conclusion

The mission of the NYU Libraries, regardless of location, is to support our scholars. We do this by providing access to high-quality resources, by serving as an inviting physical space that inspires research and contemplation, and by providing responsive and high-quality reference and research services to our users. Our quickly evolving, globally networked environment necessitates that we continue to adjust and adapt these services and that we build ever greater models of collaboration and connectivity if we expect to meet the demands of our users. Maintaining an environment that celebrates the excellence of our local campuses and expertise through circle 1 services, while also scaling, sharing, and enhancing our circle 2 and 3 services for our far-flung global scholars is a challenging proposition, but one we must navigate and develop as we grow with the rest of the global network university.

1. Though not explicitly covered in this chapter, much of what is discussed here also applies to the third global campus in Shanghai, China as well.

Additional Resources

Biographies

Scott Collard is Head of Specialized Research Services and Social Sciences at New York University Division of Libraries. Scott received his MSLIS from University of Illinois at Urbana-Champaign and an MA in General Studies in the Humanities (Early American History and Literature) from The University of Chicago. His research interests focus on the development of research services in academic libraries.

Ilka Datig is the Head of Instruction and Outreach in the Lorette Wilmot Library, Nazareth College. Previously she was the Reference and Research Librarian for the Social Sciences at New York University Abu Dhabi. Ilka received her MLIS from Syracuse University and an MA in Anthropology from New York University. Her research interests include international students and libraries, ethnographic and qualitative research methods, and student perceptions of libraries.

Amani Magid is the Reference and Research Librarian for the Sciences and Engineering at New York University Abu Dhabi. Amani conducted research in pharmaceutical chemistry and managed lab classes at a community college before earning her MLIS from the University of Pittsburgh. Amani’s interests include using mobile apps and video for science information literacy.
This chapter shares the results of an exploratory study about information literacy and library instruction programs at American-style institutions outside the United States in order to develop a global picture of information literacy at international campuses. Fifty-one institutions were included as potential participants, and 38 responses were collected. Findings show that these libraries provided, on average, 73 instruction sessions during 2013–2014, and developed collaborative relationships on and off campus. Most use an established definition of information literacy and standards from an organization like the Association of College and Research Libraries. Challenges in developing robust library instruction programs include lack of personnel and appropriate teaching and learning spaces. Effective assessment plans are still in development for many responding libraries.

Introduction

There is a long standing tradition of providing access to American-style education abroad through the establishment of autonomous American accredited institutions, degree-granting partnerships between American and international univer-
sities, and the expansion of international branch campuses. While research has been conducted in order to assess the impact and success of these institutions, very little research has focused on the role of libraries and information literacy (IL) programs within the international higher education setting.

This exploratory study seeks to provide detailed information about information literacy and library instruction programs at American-style institutions abroad in order to develop a global picture of information literacy at international campuses. Based on qualitative and quantitative data collected via online questionnaire distributed to librarians at 51 American-style university libraries abroad, the survey reveals a variety of library instruction program designs and perspectives on information literacy. The study includes both autonomous institutions and international branch campuses. Autonomous institutions, such as the American University in Cairo and the American University of Paris, are accredited by American agencies but are not affiliated with a U.S.-based university. These universities are often well established, but may not always have robust library resources and services. International branch campuses, such as Webster University Vienna and Georgetown University School of Foreign Service in Qatar, are described by Lane as “entit[ies] that [are] owned, at least in part, by a foreign education provider; operated in the name of the foreign education provider; engage in at least some face-to-face teaching; and provide access to an entire academic program that leads to a credential awarded by the foreign education provider.” These institutions tend to be newer, and they usually have access to resources, services and programs from their home institution’s library.

The results of this study will be of value to librarians working in American-style academic libraries outside the United States, as well as anyone interested in global perspectives on information literacy.

**Literature Review**

This chapter reports the results of a survey of library instruction programs in American-style university libraries outside the United States. The library and information science (LIS) literature indicates that no similar research has been conducted, or if it has the results have not been published. The following is a review of the LIS literature related to survey research of information literacy and library instruction programs.

It is interesting to note that most studies in the LIS literature focused on surveying library instruction programs have been conducted outside the United States. In 2000, Julien published the results of a study of information literacy in academic libraries in Canada, in which 207 university and college libraries were surveyed. The survey included questions about instruction methods, content, resources, objectives, and evaluation, as well as librarians’ perspectives on information literacy. This research was later expanded via in-depth interviews with librarians, faculty
members, and administrators at three case-study sites. The findings of this study left
the authors concerned about a “large proportion of campuses where instruction is
undervalued, under resourced, and not nearly as effective as it might be,” and calling
for training in library and information science graduate programs and support from
administrators for information literacy efforts. Green surveyed 17 American interna-
tional branch libraries on reference, collections, partnerships with home institu-
tions, and hardships, concluding that libraries “are critical to the university’s overall
success.” Diep and Nahl surveyed university administrators, librarians, and faculty
at four universities in Vietnam in order to explore perceptions related to information
literacy instruction. The surveying of library instruction programs has also been
undertaken by researchers in India, Ireland, and Jordan. No major survey of in-
struction programs has been undertaken in the United States since the 2001 Nation-
al Information Literacy Survey, developed by the Association of College and Re-
search Libraries (ACRL) and American Association of Higher Education (AAHE).
Survey results showed that most academic libraries had already embraced the brand
new (at the time) Information Literacy Competency Standards for Higher Educa-
tion.

Other library instruction survey research often focuses on specific disciplines
like business or the physical sciences, or exploring faculty perspectives on in-
formation literacy. Since 2008, Project Information Literacy (PIL) has conducted
multiple studies of college and university students in the United States in order to
better understand how they “find information and conduct research—their needs,
strategies, and workarounds—for their coursework and for addressing issues that
arise in their everyday lives.” None of this research, however, is focused on col-
lecting data about library instruction programs at numerous academic libraries.

Most of the literature that focuses on instruction programs and information
literacy outside of North America does not utilize survey methods and is often
descriptive in nature. Corrall performed an analysis of information literacy strat-
egies at ten institutions of higher education in the United Kingdom, emphasizing
the need for “moving beyond previous self-reported single-case accounts to an
independent comparative multi-case study.” De Jager and Nassimbeni provide
an overview of the early development of information literacy programs in South
African higher education. Špiranec and Pejova discuss information literacy best
practices, advocacy, and barriers from the perspective of librarians in Southeast
Europe. Collections such as Bruce and Candy’s Information Literacy around the
World: Advances in Programs and Research and Information Literacy: Interna-
tional Perspectives, which is part of a series published by International Federation
of Library Associations and Institutions (IFLA), cover a wide variety of topics in-
cluding: distance education students in Australia, workplace information literacy
in Singapore, access to information in Latin America, and information literacy
standards in Finland.
Method

Given our research questions and targeted population, we determined that an online questionnaire was the best way to collect data from libraries all over the world. The *SAGE Encyclopedia of Qualitative Research Methods* defines survey research as “the set of methods used to gather data in a systematic way from a range of individuals, organizations, or other units of interest.” Surveys can be used to collect quantitative data (usually with questionnaires) or qualitative data (via text entry questions, or when used in tandem with interviews). The online questionnaire used in this study included both open- and closed-ended questions, and the full instrument can be found in Appendix 11A. Because the surveyed libraries are located on four continents—Asia, Africa, Europe, and North America—this method was deemed most appropriate. Scheduling interviews with representatives from each library would have been difficult and time-consuming. The online questionnaire was developed and distributed using Qualtrics. It was reviewed by both the University of North Carolina at Chapel Hill and New York University Abu Dhabi Institutional Review Boards and tested with two instruction librarians from institutions included in the study.

Participants

The goal of this study was to collect data about the information literacy programs at American-style university libraries located outside of the United States. Both autonomous American-style universities and international branch campuses were included. All colleges and universities involved as a member or affiliate in the American International Consortium of Academic Libraries (AMICAL) were included, as well as selected institutions from a list curated by the Cross-Border Education Research Team. Institutions selected from the list met certain criteria: they had to be American-style or affiliated with an American institution, use English as the language of instruction, have a library that employs librarians—and these conditions had to be confirmable via the institution website. Of the 83 institutions on the list, 51 met the criteria and the questionnaire was distributed to their librarians in December 2014. The list of all 51 institutions contacted can be found in Appendix 11B. No sampling was utilized in this research; every potential respondent was asked to complete the questionnaire. Our intention was not to produce generalizable results, but to develop an understanding of the instruction programs at these libraries that was as complete as possible.

Data Analysis

Despite the open-ended nature of many questions, data analysis was fairly straightforward. Some questions required numerical responses, such as the number of different types of instruction sessions taught at each library. Others required
a straight-forward qualitative response, such as the names of departments with which librarians collaborate most often. Other questions required in-depth responses. For example, respondents were asked to describe how information literacy is part of the library’s mission statement, core values, and/or goals. Responses were coded line-by-line to identify keywords and themes that emerged from the data. Potential codes were not identified prior to analysis.

**Results**

Study results are divided into the following sub-sections: institution demographics, library instruction programs, instruction sessions, instruction spaces, and library instruction curriculum. Thirty-eight of the 51 contacted libraries completed the questionnaire, almost a 75% response rate. None of the questions required a response, so respondents occasionally skipped over some. Thus, the number of responses is not 38 for every question. Respondents could choose whether or not to identify their institutions, and 32 elected to do so.

**Institution Demographics**

Respondents were asked about student enrollment and 34 of them provided data. Eleven institutions are undergraduate only, one is graduate only, and the remaining 22 have both categories of students. Student enrollment numbers can be found in Figure 11.1.

**Figure 11.1.** How many students are enrolled at your institution? (n=34)
Thirty-six responses were recorded for the question, “Which languages are spoken at your institution most commonly?” Eleven of the responses indicated English only, and several emphasized that this is the official language of instruction. But 18 additional languages were listed as spoken commonly on campus: Arabic, Russian, Greek, Chinese, Albanian, Italian, French, Urdu, Spanish, German, Hindi, Serbian, Bulgarian, Romanian, Japanese, Tagalog, Farsi, and Dari. Arabic was the most commonly listed additional language, spoken at ten of the institutions.

Respondents were asked to provide the number of librarians at their institutions who provide instruction. On average, libraries have three librarians who provide instruction. Other descriptive statistics can be found in Table 11.1.

**Table 11.1. How many librarians provide instruction at your library? (n=38)**

<table>
<thead>
<tr>
<th>Highest Number of Librarians</th>
<th>Lowest Number of Librarians</th>
<th>Mean Number of Librarians</th>
</tr>
</thead>
<tbody>
<tr>
<td>14</td>
<td>1</td>
<td>3</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Median Number of Librarians</td>
<td>2</td>
<td></td>
</tr>
</tbody>
</table>

**Library Instruction Programs**

The first survey question asked about terminology used by the responding libraries to describe instruction programs. Some respondents selected more than one option. “Information literacy” was the most common response used by 66% of the libraries. Figure 11.2 illustrates the responses. “Other” responses included phrases such as “Library Safari,” “training sessions,” “research education,” and “library information sessions.”

**Figure 11.2. Which terminology does your library use to describe the instruction program? (n=38)**

<table>
<thead>
<tr>
<th>Library Instruction Terminology</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Number of Responses</strong></td>
</tr>
<tr>
<td><strong>Terminology</strong></td>
</tr>
<tr>
<td>Library Instruction: 21</td>
</tr>
<tr>
<td>Information Literacy: 25</td>
</tr>
<tr>
<td>Bibliographic Instruction: 3</td>
</tr>
<tr>
<td>Research Skills: 10</td>
</tr>
<tr>
<td>User Education: 0</td>
</tr>
<tr>
<td>Other: 8</td>
</tr>
</tbody>
</table>

Terminology
The library instruction program at Johns Hopkins University School of Advanced International Studies in Bologna, Italy was established “more than 30 years ago.” On the other end of the spectrum, three libraries implemented their programs in 2014. It is important to keep in mind that many of these institutions were founded only within the last decade. For example, New York University Abu Dhabi opened its doors in 2010 and provided library instruction from the start. The results from the 24 libraries that provided an exact year can be found in Figure 11.3.

**Figure 11.3.** During which year did your library first implement the instruction program? (n=24)

The questionnaire asked whether the library or institution used a definition of information literacy. Seven said no and six did not respond. Of the 32 responses, 20 (63%) indicated that the ACRL definition of information literacy was used. One cited the Chartered Institute of Library and Information Professionals’ (CILIP) definition and another, the Middle States Commission on Higher Education’s definition. Carnegie Mellon University in Qatar offers a for-credit information literacy course and uses its own definition. The American University in Cairo is “in the process of providing our own definition as we revise the instruction program.” Eighty-one percent (30 of 37 respondents) of the libraries include information literacy as part of the library’s mission statement, core values and/or goals, and twenty-two explained further. Nine responses included references to creating “information literate” or “lifelong learners” in their mission statement, and eight mentioned connecting information literacy efforts to faculty teaching. Sixty-five percent (24 of 37) of respondents indicated that information literacy is considered a general learning outcome at their institutions.
Seventy-one percent of the 38 respondents are familiar with the new ACRL Framework for Information Literacy for Higher Education. When asked about plans to incorporate the Framework into instruction programs thirteen of twenty-one respondents stated that they were unsure if or how they will proceed. Eight are early adopters of threshold concepts and have already begun planning and implementing the new framework into their IL programs and instruction sessions. One institution stated they have already incorporated threshold concepts into their research skills classes.

Instruction Sessions

There were 35 usable responses to the question about number of instruction sessions taught during the 2013–2014 academic year. These libraries taught a total of 2,751 (73 per library on average) instruction sessions including library tours, orientation sessions, brief in-class presentations, one-shot sessions, specialized workshops, and other sessions. Table 11.2 summarizes these responses. Library instruction events listed under “Other” included orientation for new faculty members (as opposed to new students), credit-bearing information literacy classes, freshman focused instruction, embedded instruction, and special sessions for Writing Center tutors and instructors. Four of the 38 libraries teach a for-credit information literacy course.

Table 11.2. How many of each type of the following instruction sessions did the librarians at your library teach during the 2013–2014 academic year? (n=35)

<table>
<thead>
<tr>
<th>Types of Instruction Sessions</th>
<th>Library Tours</th>
<th>Orientation Sessions</th>
<th>Brief In-class Presentations</th>
<th>One-shot Sessions</th>
<th>Special Workshops</th>
<th>Other</th>
</tr>
</thead>
<tbody>
<tr>
<td>Highest Number of Sessions</td>
<td>290</td>
<td>30</td>
<td>20</td>
<td>161</td>
<td>46</td>
<td>36</td>
</tr>
<tr>
<td>Lowest Number of Sessions</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Mean Number of Sessions</td>
<td>22</td>
<td>6</td>
<td>3</td>
<td>28</td>
<td>9</td>
<td>5</td>
</tr>
<tr>
<td>Median Number of Sessions</td>
<td>5</td>
<td>4</td>
<td>1</td>
<td>15</td>
<td>5</td>
<td>0</td>
</tr>
<tr>
<td>Total</td>
<td>762</td>
<td>211</td>
<td>110</td>
<td>984</td>
<td>326</td>
<td>178</td>
</tr>
</tbody>
</table>
Respondents were asked to list the top three departments for which their librarians teach the most one-shot instruction sessions. English courses were the most common, followed by writing/freshman year programs. The top six can be found in Table 11.3.

<table>
<thead>
<tr>
<th>Department</th>
<th># of Libraries</th>
<th>Department</th>
<th># of Libraries</th>
</tr>
</thead>
<tbody>
<tr>
<td>English</td>
<td>11</td>
<td>Writing/Freshman Year Programs</td>
<td>9</td>
</tr>
<tr>
<td>Business</td>
<td>7</td>
<td>History</td>
<td>5</td>
</tr>
<tr>
<td>Psychology</td>
<td>5</td>
<td>Literature/Linguistics</td>
<td>5</td>
</tr>
</tbody>
</table>

Additionally, respondents were asked to list with which departments or individuals their instruction program collaborates on or off campus. Out of 33 responses, 25 respondents listed discipline-specific partnerships, including various departments from the social sciences, humanities, and sciences. Fourteen respondents again listed the Writing Center as a close collaborative partner. The Student Government, Media Center, Student Life staff, and neighboring universities were among the unique collaborations. One institution stated that collaborations between librarians and teaching faculty have resulted in publications and conference poster presentations.

The questionnaire also asked about expectations related to support provided to on and off campus partners. Almost all (32 of 34) of the survey responses listed instruction sessions as a common expectation. Access to resources such as databases and monographs was selected by 85% (29 of 34) followed by research support at 79% (27 of 34). Responses to this question can be found in Figure 11.4.

**Figure 11.4.** What types of support do partners expect from the library? (n=34)
We also asked respondents about assessment of information literacy skills. Student and faculty feedback surveys, and content quizzes are the most commonly used instructional tools. Respondents who selected “Other” listed the SAILS test, understanding checks during instruction, and information feedback from faculty and students as assessment tools. Figure 11.5 shows all responses to the assessment question.

**Figure 11.5.** Which assessment tools do you use? (n=36)

<table>
<thead>
<tr>
<th>Assessment Tools</th>
<th>Number of Responses</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pre- and post-tests</td>
<td>12</td>
</tr>
<tr>
<td>One-minute paper</td>
<td>4</td>
</tr>
<tr>
<td>Quiz on session content</td>
<td>16</td>
</tr>
<tr>
<td>Muddiest point or plus/delta</td>
<td>3</td>
</tr>
<tr>
<td>Student feedback survey</td>
<td>21</td>
</tr>
<tr>
<td>Faculty feedback survey</td>
<td>16</td>
</tr>
<tr>
<td>Rubric</td>
<td>8</td>
</tr>
<tr>
<td>Participating in the grading of student work</td>
<td>5</td>
</tr>
<tr>
<td>Peer observation</td>
<td>10</td>
</tr>
<tr>
<td>Other</td>
<td>7</td>
</tr>
</tbody>
</table>

**Instruction Spaces**

Half of the 38 libraries have dedicated instruction spaces and half do not. Of the 19 that do, twelve indicate that 80 to 100% of library instruction takes place in this space. Five say that 40 to 50% takes place here and two that only 10 or 20% does. Sixteen of the 19 dedicated spaces include computers for student use. Computer numbers can be found in Figure 11.6. Sixteen of these instruction spaces include a computer and projector for the instructor’s use; eight contain a smartboard. Of the libraries that do not have dedicated instruction spaces, 14 stated instruction takes place mostly in classrooms and 6 use computer labs for this purpose.
Library Instruction Curriculum

Respondents were asked about the skills and resources taught in instruction sessions. Some of the libraries employed only one librarian, but others had several. However, in all cases, only one librarian completed the questionnaire. Findings may not be representative of all teaching librarians in a specific library. Figure 11.7 shows the responses to this question. Respondents who selected “Other” listed topics such as general library services, and primary and secondary sources.

Figure 11.7. Which skills and resources do you teach in instruction sessions? (n=38)
When asked about preparing for an instruction session, 89% of respondents chose “Discuss expectations with faculty member” and 87% chose “Find out about assignments and/or student research topics.” The most common preparation listed as “Other” was preparing print handouts. All responses can be found in Figure 11.8.

**Figure 11.8. How do you prepare for an instruction session? (n=38)**

<table>
<thead>
<tr>
<th>Activities</th>
<th>Number of Responses</th>
</tr>
</thead>
<tbody>
<tr>
<td>Discuss expectations with faculty member</td>
<td>34</td>
</tr>
<tr>
<td>Read the course syllabus</td>
<td>27</td>
</tr>
<tr>
<td>Find out about assignments and/or student research topics</td>
<td>33</td>
</tr>
<tr>
<td>Create a lesson plan</td>
<td>25</td>
</tr>
<tr>
<td>Develop in-class activities</td>
<td>29</td>
</tr>
<tr>
<td>Create an online subject guide and/or handouts</td>
<td>27</td>
</tr>
<tr>
<td>Prepare an assessment plan</td>
<td>16</td>
</tr>
<tr>
<td>Other</td>
<td>5</td>
</tr>
</tbody>
</table>

**Discussion**

The results of this exploratory survey provide a snapshot of the state of library instruction programs at American-style institutions abroad. It is clear the majority of the institutions surveyed have based their instruction programs on American standards but have adapted these standards to meet the needs of diverse student populations. International libraries have strong partnerships with First-Year Experience programs and writing courses to equip diverse student populations with basic information literacy skills, similar to many instruction programs in North America. The popularity of these programs is indicated by the large number of brief in-class presentations, orientations, and library tours (1,083 in total) which tend to teach low-level IL skills. This number also reflects the need for tiered information literacy programs to ensure students are developing their IL skills at points of information need throughout their academic careers. Some universities have developed sophisticated freshman IL programs, such as the American University in Cairo which, in 2014, adopted IL as a freshman program learning outcome that is taught and assessed in multiple courses, including a semester long information literacy course, Libraries and Learning Technologies 101.
Assessment

There is an obvious need to prioritize IL assessment. Less than half of respondents prepare for instruction sessions by creating an assessment plan. Considerations should be made for developing holistic assessment programs to gauge student learning, rather than heavily relying on student and faculty feedback. Librarians also placed emphasis on rubrics and grading of work. As in many American institutions, assessment is taking a back seat to a plethora of other duties and many newer universities are still trying to build assessment programs. One respondent wrote that “instruction is still being developed and we don’t have a system for gathering assessment.” Creating and establishing holistic IL assessment programs in American-style universities abroad could also help establish IL benchmarks and create best practices for international IL programs while positively demonstrating the value of academic libraries.

Resources

Results emphasized the central role information literacy plays in international libraries. The overwhelming use of the ACRL definition of information literacy and inclusion in library mission statements is evident, but it is unclear whether IL programs are receiving necessary resources, including personnel, teaching spaces, and instructional technology. On average, the libraries surveyed have three librarians and not even one staff member providing instruction support. One respondent noted that “until more curriculum and research support librarians are hired, it is hard to build assessment.” Space and technology limitations are apparent in the questionnaire results and bring up the issue of which technologies and types of space are needed to successfully teach IL concepts.

Collaboration

Interestingly, collaboration between local and international library consortiums and organizations only appeared in the survey results three times. AMICAL23 and the Information Literacy Network of the Gulf (ILN)24 were singled out as two international organizations that provide IL assistance to librarians. Both organizations held professional development events in 2015 on the use and integration of threshold concepts in IL programs. There is an opportunity to strengthen IL programs through increased presence of local and international organizations that provide training opportunities, serve as sounding boards for new ideas, and create regional best practices. The American University in Sharjah was the only institution who addressed this issue in their mission statement by stating, “maintain effective regional relationships to enhance information literacy at A.U.S. and in the broader community.”
**Conclusion**

As the number of American-style institutions increases as a result of the globalization of higher education, it is essential that international librarians understand the state of information literacy and library instruction programs. The results of this study paints a broad picture, which could be narrowed by future research. Studies designed specifically for autonomous American-style universities, joint programs, or international branch campuses, could provide insights into the development and practices of the IL programs at each type of institution. In addition, this survey was only completed by one librarian at each of the 38 responding institutions. It would be interesting to survey all librarians who have an instructional role at American-style libraries to better capture content covered, instruction style, and assessment activities. Future studies could also look at different types of affiliated universities abroad, including British and Australian, both of which have well-developed IL models and standards. Information gathered from a variety of university types could help identify best practices for working with diverse international populations.
Appendix 11A: Survey Instrument

1. What terminology does your library use to describe the instruction program?
   - Library instruction
   - Information literacy
   - Bibliographic instruction
   - Research skills
   - User education
   - Other (please explain)

2. How many librarians provide instruction at your library?

3. How many of these librarians are considered to be a subject specialist, meaning that he or she has completed at least a master’s degree in a subject other than library and information science?

4. What is the status of librarians at your institution?
   - Faculty
   - Staff
   - Other (please explain)

5. How many of each type of the following instruction sessions did the librarians at your library teach during the 2013–2014 academic year?
   - Library tour
   - Orientation session for new students
   - Brief class presentation (e.g., 5–10 minute class visit)
   - One-shot session
   - Specialized workshops (e.g., a workshop on Zotero)
   - Other

   Please describe sessions categorized as “Other”

6. For which departments does your library teach the most one-shot sessions? Please list the top three.

7. Do the librarians at your institution teach a for-credit information literacy course?

8. Does your library or institution have a definition of information literacy? If so, please provide it below. If you use a definition developed by another organization—like ACRL or another library—please indicate this.

9. Is information literacy part of your library’s mission statement, core values, and/or goals? Please explain.

10. (If yes to 9) Please describe how information literacy part of your library’s mission statement, core values, and/or goals.
Instruction Spaces and Technologies

11. Does your library have one or more dedicated instruction room?

12. (If yes to 11) Does this space contain computers for student use during instruction sessions? If yes, please include the number of computers.

13. (If yes to 11) Does this space contain a computer and projector for the instructor’s use?

14. (If yes to 11) Does this space contain other technology? (e.g., smartboard, clickers, etc.)

15. (If no to 11) Where does the majority of library instruction take place?

16. Include any additional information about your teaching spaces and technology here.

Instruction Curriculum

17. What skills and resources do you teach in instruction sessions?

☐ Developing research questions
☐ Identifying keywords
☐ Boolean operators
☐ Evaluating information
☐ Finding materials in the library
☐ Library catalog
☐ Subject-specific library databases
☐ Google Scholar
☐ Freely available online resources
☐ Academic integrity
☐ Citing sources
☐ Citation management tools
☐ Other (please explain)

18. How do you prepare for an instruction session?

☐ Discuss expectations with faculty member
☐ Read the course syllabus
☐ Find out about assignments and/or student research topics
☐ Create a lesson plan
☐ Develop in-class activities
☐ Create an online subject guide and/or handouts
☐ Prepare an assessment plan
☐ Other (please explain)
19. How do you organize your instruction sessions? For example, 40% lecture/ 
demonstration, 50% hands on, 10% active learning activities.

20. What assessment tools do you use?

☐ Pre- and post-tests
☐ One-minute paper
☐ Quiz on session content
☐ Muddiest point or plus/delta
☐ Student feedback survey
☐ Faculty feedback survey
☐ Rubric
☐ Participating in the grading of student work
☐ Peer observation
☐ Other (please explain)

21. Include any additional information about your assessment of instruction here.

22. Are you familiar with the ACRL's new Framework for Information Literacy 
for Higher Education?

23. (If yes to 6) How do you expect to incorporate the new framework into your 
instruction program?

Collaboration

24. With which departments or individuals do you collaborate on or off campus?
(e.g., history department, writing center, English language institute, local high 
school, off-campus library or archive, etc.)

25. What types of support do these partners expect from the library? Please ex-
plain your selections.

☐ Research support
☐ Instruction sessions
☐ Embedded librarians
☐ Resources (e.g., monographs, databases)
☐ Technical support
☐ Individual and collaborative working spaces
☐ Technology (e.g., printers, specialized software, access to the Inter-
net)
☐ Other (please explain)

26. Is information literacy considered a general learning outcome at your univer-
sity? Please explain.

27. Include any additional information about collaboration here.
Learner Characteristics

28. How many students are enrolled at your institution?
   Undergraduate ________  Graduate ________

29. What percentage of students are classified as study abroad students?

30. What languages are spoken at your institution most commonly?

31. What is the name of your institution?
### Appendix 11B: All Contacted Universities

<table>
<thead>
<tr>
<th>University Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>Al Akhawayn University in Ifrane</td>
</tr>
<tr>
<td>Alliant International University Mexico City</td>
</tr>
<tr>
<td>American College of Greece (Deree)</td>
</tr>
<tr>
<td>American College of Thessaloniki</td>
</tr>
<tr>
<td>American University in Bulgaria</td>
</tr>
<tr>
<td>American University in Cairo</td>
</tr>
<tr>
<td>American University in Dubai</td>
</tr>
<tr>
<td>American University in Kosovo</td>
</tr>
<tr>
<td>American University in the Emirates</td>
</tr>
<tr>
<td>American University of Afghanistan</td>
</tr>
<tr>
<td>American University of Armenia</td>
</tr>
<tr>
<td>American University of Beirut</td>
</tr>
<tr>
<td>American University of Central Asia</td>
</tr>
<tr>
<td>American University of Iraq in Sulaimani</td>
</tr>
<tr>
<td>American University of Kuwait</td>
</tr>
<tr>
<td>American University of Nigeria</td>
</tr>
<tr>
<td>American University of Paris</td>
</tr>
<tr>
<td>American University of Ras Al Khaimah</td>
</tr>
<tr>
<td>American University of Rome</td>
</tr>
<tr>
<td>American University of Sharjah</td>
</tr>
<tr>
<td>Carnegie Mellon University Qatar</td>
</tr>
<tr>
<td>Central European University</td>
</tr>
<tr>
<td>Duke Kunshan University</td>
</tr>
<tr>
<td>Florida State University Panama</td>
</tr>
<tr>
<td>Forman Christian College</td>
</tr>
<tr>
<td>Franklin College</td>
</tr>
<tr>
<td>Georgetown University School of Foreign Service in Qatar</td>
</tr>
<tr>
<td>Girne American University</td>
</tr>
<tr>
<td>Haigazian University</td>
</tr>
<tr>
<td>Hellenic American University</td>
</tr>
<tr>
<td>John Cabot University</td>
</tr>
<tr>
<td>Johns Hopkins University, SAIS Europe (Bologna)</td>
</tr>
<tr>
<td>Lakeland College Japan</td>
</tr>
<tr>
<td>Lebanese American University</td>
</tr>
<tr>
<td>Northwestern University in Qatar</td>
</tr>
<tr>
<td>New York University Abu Dhabi</td>
</tr>
<tr>
<td>New York University Shanghai</td>
</tr>
<tr>
<td>Richmond, The American International University in London</td>
</tr>
<tr>
<td>Rochester Institute of Technology—Dubai Campus</td>
</tr>
<tr>
<td>Saint Louis University—Madrid Campus</td>
</tr>
<tr>
<td>Schiller International University</td>
</tr>
<tr>
<td>Smolny College (now Faculty of Liberal Arts and Sciences)</td>
</tr>
<tr>
<td>Temple University Japan Campus</td>
</tr>
</tbody>
</table>
Texas A&M Qatar  
Touro College in Israel  
VCU Qatar  
Webster University Geneva  
Webster University Vienna  
Weill Cornell Medical College in Qatar  
Wenzhou-Kean University  
Yale NU.S. College

11. Brown, “Information Literacy of Physical Science Graduate Students.”


17. Bruce, Christine, and Philip Candy, eds. *Information Literacy around the World: Advances in Programs and Research*. Wagga Wagga, Australia: Centre for Information Studies, 2000.


**Additional Resource**

Biographies

Amanda B. Click is a doctoral fellow in the School of Information and Library Science at the University of North Carolina at Chapel Hill. Her research fellowship, ELIME-21, focuses on developing library education and professional development in the Middle East and North Africa. From 2008 to 2011, Amanda was an instruction and reference librarian and the coordinator of instruction at The American University in Cairo. Amanda's research interests include academic integrity, information literacy in the Middle East, and library services for international students.

Meggan Houlihan is the First-Year Experience and Instruction Librarian at New York University Abu Dhabi. In this role Meggan collaborates with the Office of First-Year Students to equip freshmen with basic information literacy skills. She is a former instruction and reference librarian and coordinator of instruction at The American University of Cairo, where she handled instructional activity, assessment, and outreach. She is currently serving on the Information Literacy Network of the Gulf’s Professional Development Committee. She formerly served as the Coordinator of Professional Development for the American International Consortium of Academic Libraries. Her research interests include information literacy in the Middle East, library outreach, and student learning.
Supporting Library User Needs in an Expanding Global Network

Paula Feid and Daniel Perkins

In this chapter, we will explore how a large university library realigned its services to begin meeting the research needs of eleven global academic centers and two degree-granting campuses in Abu Dhabi and Shanghai. Enrollment statistics for the 2012–13 academic year indicated that approximately 43 percent of New York University’s undergraduates would spend a semester abroad. As enrollment abroad grew, it became increasingly critical that the library develop a proactive approach to support each student’s uninterrupted progress toward his or her degree. We describe how New York University Libraries implemented a team approach to ensure students and faculty studying on six continents have a consistent research experience regardless of their location on the globe. A Global Services Librarian position was created to increase access to library services and resources, and to coordinate teams throughout the library and across the university who help manage and deliver these services.

History of New York University’s Study Abroad Programs

New York University’s (NYU) first study abroad site was founded in Madrid in 1958, followed by the establishment of NYU Paris in 1969. At these global sites curricula focused on language acquisition and cultural immersion. Students at
NYU Paris studied the French language and the arts, history, literature, and politics of France and its relationships with the wider world. NYU launched a site in Florence in 1995, followed by academic centers in Prague in 1998 and London in 1999. Each site had distinctive programs, history, faculty and a unique relationship with academic programs at NYU in New York. They followed the traditional American model of a study abroad experience. By 2003, NYU ranked the highest in the United States in the number of students (2,061) studying abroad for academic credit by the Institute of International Education.¹

As the global academic centers expanded, NYU began to experience many of the standard challenges faced by other study abroad programs. Students in certain majors were not able to participate because required core courses were not offered outside New York. Time zones and language differences complicated communication channels between faculty and staff and librarians in the U.S. Copyright and intellectual property laws differ by country creating challenges for course reserves.² Delivery of physical materials loaned to faculty was sometimes slowed by customs, making the timely return of those materials inconsistent.³

In response to these challenges, some of the global centers developed small on-site collections of course-related books and negotiated borrowing privileges for students at local universities. NYU Libraries engagement with the global sites was coincidental and lacked a coordinated approach with systematic follow-up. Librarians from NYU in New York made short visits to the sites if they happened to be in Europe for a conference—for example, when the subject librarian for Spanish and Portuguese studies attended a book fair in Madrid. NYU’s Special Collections Curator visited Florence to survey the condition of rare books in their collection; the Head of Cataloging followed up with a visit to advise on the bibliographic management of this special collection.

**Intentional Visits to Global Academic Centers**

In 2005, the Academic Director for NYU in Florence invited the Undergraduate Librarian for a visit to familiarize local faculty and students with e-resources and services available to them. During a two-week visit with faculty, students, and academic administrators, the Undergraduate Librarian worked closely with NYU Florence's Library Manager, an administrator responsible for local collection development and in-person research services. Although not a librarian by training, the Florence Library Manager acquired advanced research skills while earning a doctoral degree and taught herself how to manage a site-specific library catalog system.

This proactive visit was instrumental in building collegial relationships with site staff and helping NYU Libraries understand the curricular needs and chal-
Supporting Library User Needs in an Expanding Global Network

Challenges faced by the global academic centers. Local adjunct faculty had limited knowledge of the extensive resources available to them via NYU, nor were they aware that the Libraries negotiated database and journal license agreements that provided off-campus access to these resources. They needed reassurance that they were welcome to contact subject librarians in New York for help; these librarians were willing and able to help them identify relevant resources to support their classes. The Undergraduate Librarian saw that music and history faculty were excited to learn about a growing collection of streaming audio and video, but frustrated by local networks that were not sufficiently robust to handle them.

The Florence visit served as a model for further engagement with other global sites. Nearly all of the service roadblocks uncovered were actionable and library and information technology staff were able to resolve them. Following this initial visit, the Undergraduate Librarian created a webpage to explain and promote e-resources and services to students and faculty at NYU’s global centers, including delivery and scanning services’ policies and procedures. The Undergraduate Librarian was invited back to NYU Florence again for a week in 2010 to advise on space planning, public services, policies, and signage for their relocated library. She also trained and granted editing privileges to Florence’s Library Manager to enable her to contribute to the library guide for global centers and to customize a section with Florence-specific library information. Being familiar with many of the staff at NYU’s other European sites, the Florence Library Manager became a valuable partner in surfacing issues that cut across other sites and facilitating communication between these centers and NYU Libraries in New York.

NYU’s Twenty-First-Century Global Vision

Building on the international presence established in the twentieth century, NYU added more global academic centers with a focus on expanding its semester study-away programs outside of Europe to locations such as Accra (2004), Shanghai (2006), and Buenos Aires (2006). Soon after, university president John Sexton introduced his vision of NYU as a global network university with degree-granting portal campuses in New York, Abu Dhabi, and eventually, Shanghai. “We see the university as an organism, a circulatory system” for faculty and students to move between continents for learning and research.

New York University Abu Dhabi opened as a comprehensive liberal arts college in 2010 with an inaugural class of two hundred students from thirty-nine countries speaking forty-three languages. NYU Shanghai, designed to combine the best of Chinese and American education, opened in 2013 with three hundred students, fifty-one percent Chinese citizens and forty-nine percent from the rest of the world. These two portal campuses each have full service libraries with professional librarians, many of whom spend several months at NYU Libraries in New York for an orientation to services and to establish relationships with their New
York-based colleagues. Students enrolled at NYU Abu Dhabi or Shanghai spend at least one semester in New York or at one or more of the global academic centers. The university strives to offer basic courses at the global academic centers to enable students to complete core requirements to support a student’s uninterrupted progress toward his or her degree.

A Dedicated Global Services Librarian Position

By academic year 2012–13, the number of NYU students studying abroad doubled; 4,274 students spent at least one semester at a global academic center or portal campus. The expansion of the university’s information technology network and the dramatic increase in NYU Libraries’ online research resources enabled students to continue scholarly work while studying abroad. When NYU Libraries drafted a strategic plan for 2013–2017, a key goal was to develop a suite of services and programs to enable students and faculty to have a consistent research experience throughout our global network. The team assigned to work on this goal included staff from Access, Delivery and Resource Sharing Services; Collection and Research Services; Data Services; Public Services; Virtual Reference Services; Reference and Instruction; User Experience; and librarians from the NYU Abu Dhabi and NYU Shanghai portal campuses. Librarians and staff were providing reference assistance and document delivery and ensuring that our e-resource license agreements extended to all of our global centers, but there was no single person choreographing these multiple services and thinking about emerging needs.

Through a donation, NYU Libraries was able to create a new position to design and sustain a suite of global library services that enhances access to library instruction and resources for the global academic centers. This new position was added to the Instructional and Undergraduate Services department which already embraced a broad and holistic public services philosophy: coordinating the Libraries’ Welcome Week orientation activities, delivering physical and virtual reference, leading professional development for librarians who teach, and participating in user interface and communications working groups. Through their service on university-wide committees focused on undergraduate academic affairs and new programs reviews, librarians in this department were positioned to hear about new academic initiatives that may impact the global academic centers. They understood the importance of supporting the research needs of all students regardless of their location and welcomed the new Global Services Librarian position into their department (now called Instruction, Undergraduate & Global Services).
Analyzing the Global Landscape and Making Connections

The Global Services Librarian coordinated the effort to gather and analyze information about the global academic centers’ staffing, operations, local library services, technology support, academic programming, and student and faculty demographics from library departmental reports, site visit reports, published materials about the global academic centers, and conversations with global staff and academic administrators. The result of this synthesis was a global library services knowledge base that was shared with reference, instruction, and access services staff, the departments having regular interactions with global users.

The primary responsibility of the Global Services Librarian is to establish connections with stakeholders within the library and across the university, serving as a conduit for global library services. Several departments and programs were identified whose global services’ goals were complementary to the libraries. Examples included Global Technology Services, Student Affairs, and the Office of Global Programs. While their individual mandates and responsibilities differed, each contributed to the goal of providing academic and co-curricular support to the global centers and ensuring parity in academic rigor with NYU standards. The Global Services Librarian established regular communications with these partners to identify areas where goals and needs intersected.

By establishing more open interdepartmental communication, we’ve been able to better coordinate our efforts with our global partners, work more efficiently, and improve our mutual knowledge base. For example, gaining a better understanding of NYU Global Technology Services’ network maintenance schedule helps the Libraries troubleshoot database access issues. In turn, explaining how vendor agreements govern global e-resource access helps Global Technology Services’ understand how network changes to local IP ranges impact access.

First Year Achievements

Communication Practices for Meetings

Much of the feedback from our colleagues abroad related to barriers to participating in meetings. Differences in workweeks and time zones create roadblocks to attending meetings virtually. If a librarian in New York schedules a meeting on Thursday afternoon, it makes it impossible for staff in Abu Dhabi to participate because their workweek extends from Sunday through Thursday.
Table 12.1. Time zone chart that assists library staff in New York with scheduling global virtual meetings.

<table>
<thead>
<tr>
<th>Location</th>
<th>Standard Time</th>
<th>Daylight Savings Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>Abu Dhabi</td>
<td>Wednesday 8 pm (UTC +4)</td>
<td>Wednesday 9 pm (UTC +4)</td>
</tr>
<tr>
<td>Accra</td>
<td>Wednesday 4 pm (UTC 0)</td>
<td>Wednesday 5 pm (UTC 0)</td>
</tr>
<tr>
<td>Berlin</td>
<td>Wednesday 6 pm (UTC +2)</td>
<td>Wednesday 6 pm (UTC +1)</td>
</tr>
<tr>
<td>Buenos Aires</td>
<td>Wednesday 1 pm (UTC –3)</td>
<td>Wednesday 2 pm (UTC –3)</td>
</tr>
<tr>
<td>Florence</td>
<td>Wednesday 6 pm (UTC +2)</td>
<td>Wednesday 6 pm (UTC +1)</td>
</tr>
<tr>
<td>London</td>
<td>Wednesday 5 pm (UTC +1)</td>
<td>Wednesday 5 pm (UTC 0)</td>
</tr>
<tr>
<td>Madrid</td>
<td>Wednesday 6 pm (UTC +2)</td>
<td>Wednesday 6 pm (UTC +1)</td>
</tr>
<tr>
<td>New York</td>
<td>Wednesday 12 pm (UTC –4)</td>
<td>Wednesday 12 pm (UTC –5)</td>
</tr>
<tr>
<td>Paris</td>
<td>Wednesday 6 pm (UTC +2)</td>
<td>Wednesday 6 pm (UTC +1)</td>
</tr>
<tr>
<td>Prague</td>
<td>Wednesday 6 pm (UTC +2)</td>
<td>Wednesday 6 pm (UTC +1)</td>
</tr>
<tr>
<td>Shanghai</td>
<td>Thursday 12 am (UTC +8)</td>
<td>Thursday 1 am (UTC +8)</td>
</tr>
<tr>
<td>Sydney</td>
<td>Thursday 2 am (UTC +10)</td>
<td>Thursday 4 am (UTC +11)</td>
</tr>
<tr>
<td>Tel Aviv</td>
<td>Wednesday 7 pm (UTC +3)</td>
<td>Wednesday 7 pm (UTC +2)</td>
</tr>
<tr>
<td>Washington D.C.</td>
<td>Wednesday 12 pm (UTC –4)</td>
<td>Wednesday 12 pm (UTC –5)</td>
</tr>
</tbody>
</table>

The Global Services Librarian led an effort to create guidelines for effective virtual communications, with guidance on conducting meetings that are immersive, inclusive, and accessible and utilize recommended tools and technology. Examples of best practices include: choosing video-chat over phone conferencing and assigning a dedicated meeting facilitator to ensure that global attendees’ voices are heard. Considerations of cost, privacy, functionality, and local restrictions affect platform choice. For example, Google Hangouts may not offer the level of security necessary for discussing sensitive information, whereas costly video-chat software, such as GoToMeeting, provides privacy, security, and greater functionality. For quick impromptu meetings we use a free service like Skype or Google Hangouts.

Site visits

Site visits help advance long-term and short-term goals while strengthening our connection to staff and users at the global academic centers. In spring of 2015, the Global Services Librarian made site visits to NYU London and NYU Paris and met with faculty, students, and academic support staff to discuss the array of user services available. London and Paris were chosen because they have freshman year programs and represent a significant percentage of NYU students abroad.
In Paris, the Global Services Librarian met with staff to discuss technical issues with their local online catalog. The advantages of being on site became apparent when he successfully diagnosed a tricky incompatibility issue between a barcode scanner and keyboard. He was also able to streamline a batch loading process for bibliographic records. In London, the Global Services Librarian learned more about the study spaces and services provided to NYU faculty and students through its outsourcing agreement with the University of London’s Senate House Library. He also discussed ideas for freshmen library orientation and an online library instruction pilot for business and economics students enrolled at NYU in London.

Along with the increased understanding gained by both sides, the face-to-face conversations that took place helped establish collaborative working relationships. Budgetary considerations may affect their frequency, but the relationship-building value makes site visits essential.

**Figure 12.1.** Each digital postcard promoted services appropriate to the intended audience and included the location’s distance from New York City.
Outreach Activities

Freshmen from the Global Liberal Studies programs in Florence, London, and Paris are one of our largest constituencies. The typical freshman challenges they face in learning how to use our library resources are compounded by distance and time. The Global Services Librarian worked with the instructional librarians and graphic designer in his department to design a digital postcard to introduce students and faculty to library services and resources. They also worked together on a two-minute video that reinforced this information and highlighted the Global Services Librarian’s online availability to students and faculty for research support. Our global academic colleagues facilitated the just-in-time distribution of these promotional materials by including links to the Libraries’ postcard and video in their orientation mailings and websites.

Global Library Service Collaborations

Supporting Local Catalogs

Four global sites have local online catalogs, purchased and supported by NYU Libraries in New York, for the reading collections these global academic centers manage and curate independently. NYU Libraries does not own these collections, but we recognized the opportunity to support the global academic centers with this service. The Global Services Librarian works closely with the vendor’s technical support team and global center staff on implementation and training. The catalogs also provide a convenient platform to embed a link to NYU Libraries e-resources.

Co-authoring Research Guides

Several global academic centers have co-authored research guides (LibGuides) with the Global Services Librarian. These guides connect users to the Ask a Librarian service, provide contact information for academic support at the global academic centers, and relay hours of operations for local computer centers and reading rooms.

Improving Access to Course Materials

Staff at the global academic centers expressed a need for support in providing students with cost-effective access to course-related readings. After a series of video chats with global academic administrators to help understand the challenge, the Global Services Librarian worked with Access, Delivery and Resource Sharing Services staff to develop an e-resource linking service for the global centers. Ac-
academic support staff send required reading lists to Course Reserves staff in New York who check the lists against the libraries’ digital holdings and create links to available materials. When requested items are not already in our existing collection, the Global Services Librarian searches for electronic versions in the Libraries’ acquisitions tool and purchases the titles for the collection. Faculty are provided with persistent links with instructions for posting them on their course pages in NYU Classes, the university’s course management system, so that user access needs are balanced with the university’s responsibility to adhere to licensing agreements and fair use guidelines.

Looking Ahead

Focus on High-Impact Educational Practices

NYU Libraries has begun to identify scalable and sustainable ways to provide library instruction to students regardless of their location. Each of the global academic centers is embedded in a local intellectual and academic community, enabling students to both learn from a particular city and contribute to it. In addition to service and community-based learning, students across the university explore diversity issues through a variety of curricular and co-curricular activities. By identifying and focusing our efforts on opportunities to engage with students involved in high-impact practices such as these—in addition to the first-year experience programs, writing-intensive courses, and capstone projects we already support—we hope to maximize the impact of our instructional program.

Develop Core Messages for Students and Faculty

As a research institution, NYU Libraries is committed to supporting student and faculty research needs regardless of where their work is being conducted. With librarians spread across several time zones, NYU is able to provide 24-hour virtual reference support. The Instructional, Undergraduate and Global Services department is developing core messages to let incoming students know the library travels with them wherever they go. These messages will be adapted for new faculty orientations, (e.g., subject librarian support is only a video-chat away when they travel abroad).

Continue Outreach to Visiting Researchers

NYU’s Provost sponsors a Global Research Initiative (GRI) that supports research-related activities at a select number of NYU’s global sites. Faculty and graduate students are invited to undertake short- or long-term research projects that take advantage of unique resources that can only be found at the global ac-
academic locations. The library, along with program coordinators, has developed orientation materials for GRI fellows, and has worked to develop delivery services for print material found in NYU’s New York libraries.

**Strengthen Personal Connections with Global Center Staff**

Academic and student affairs colleagues from the global centers visit the university’s New York campus on a regular basis for planning and training. The academic directors have begun scheduling appointments with the Global Services Librarian to discuss library needs when they are in the United States. Library staff participate in some of these large meetings and are often invited to the receptions where they can informally meet the staff they’ve been skyping with for months. Most of the global academic centers have small staffs (10–25 people); it’s not unusual for a Residence Life Director to field a question from a student seeking library resources, so we have learned to think broadly about our partners. These campus visits provide a good opportunity to strengthen collegial relationships between library staff in New York and global center staff; they reinforce our shared sense of purpose and help shorten the distance between our geographic locations.

Biographies

Paula Feid is Head of NYU Libraries’ Instruction, Undergraduate and Global Services Department. She earned her MLS from the University of Rhode Island Graduate School of Library and Information Studies and an MPS in Interactive Telecommunications from NYU’s Tisch School of the Arts where she focused on social applications of the Internet.

Daniel Perkins is NYU Libraries’ Global Services Librarian. He earned his MLS from City University of New York’s Queens College Graduate School of Library and Information Studies. Previous to this, he served as Adjunct Health Sciences Librarian at NYU and volunteered at the American Museum of Natural History Library where he worked with their Digital Special Collections.
SECTION 5:
Providing Technical Services in a Global Context
Developing a Global Integration Strategy for Resource Acquisitions

Nina Servizzi

With the opening of New York University’s portal campus in Abu Dhabi in 2010, the Division of Libraries was called upon to develop a full service library to support academic research. To effectively meet collection development goals, a detailed acquisitions model was drafted. Workflows were designed to maintain organizational consistency across the main and portal campus, and to redefine vendor relations, technical services specifications, systems architecture, budget structure, and fiscal control. The new model also sought to establish the appropriate balance between centralized and distributed processes that would allow for the greatest degree of institutional integration while being sensitive to immediate and particular local needs. The acquisitions strategy developed for the NYU Abu Dhabi Library has become a prototype for successive portal campus libraries with the NYU Shanghai Library adopting the model in 2013.

Background

In early 2009, the Acquisitions Department began work on a comprehensive acquisitions program for the library collection at New York University’s (NYU) new campus in Abu Dhabi. Unlike the University’s existing international academic centers, the Abu Dhabi campus would be a degree-granting campus offering four-year programs in the arts, humanities, social sciences, sciences and engineering, and would be the first of several portal campuses to join the main campus in New
York, forming a Global Network University. In order to support academic research at the portal campuses, the NYU Division of Libraries would develop collections and services aimed at providing a seamlessly integrated research environment for scholars across the University’s global network. The initial development plan for the NYU Abu Dhabi Library called for a small print collection of two thousand volumes coupled with access to NYU’s full electronic resources collection to be made available to faculty and staff in Abu Dhabi by November 2009. Additional core print materials would be added as needed in support of academic classes beginning in September 2010. The long-term collection goal was to acquire a print collection of approximately one hundred thousand volumes by 2020. It became immediately apparent that a successful acquisitions strategy would need to be sensitive to the immediate and particular needs of the NYU Abu Dhabi Library development plan and, at the same time, be general enough to serve as a model for successive portal campuses, as NYU Shanghai had already been identified as the next to open in fall 2013.

Centralized vs. Distributed Processes

At the outset, it was obvious that the new acquisitions program would need to guarantee organizational consistency across the Division of Libraries, balancing the detailed requirements of the Division with the unique local needs of NYU’s portal libraries. Modifications to existing acquisitions workflows necessary to maintain this balance were best conceptualized as front-end extensions of existing back-end processes rather than as a new, unique set of procedures. Within this framework, established workflows may be readily adapted when necessary to fit collection development plans for the portal libraries that initially required the acquisition of large numbers of backlist, out of print, print on demand, and locally published titles. Nonetheless, no matter how organically the extension of routine acquisitions workflows could be implemented, there remained a fundamental logistic challenge as to how centralized or distributed these workflows and, more importantly, the underlying acquisitions processes needed to be.

The distribution of staff assignments between the main and portal libraries was fairly straightforward. To begin with, all acquisition activities, as well as cataloging and physical processing, would take place in New York. Once processed, materials would then be shipped to the portal campus. The centralization of acquisitions and technical services workflows would allow the portal library to focus attention on initial staffing in essential public service positions. Only after adequate reference and research assistance was available to students and faculty would a small, dedicated acquisitions staff be hired and trained. The plan called for a gradual shift in acquisitions responsibilities over several years with the main New York library continuing to provide core acquisition services including: advanced ordering (approval plan, blanket orders, e-resource packages, subscriptions, etc.),
MARC record procurement, vendor assessment, budget control, fiscal documentation, and reporting. The portal library would then take primary responsibility for firm orders and reserves processing to ensure the timeliest and most efficient acquisition of rush requests, local publications, and specialized materials.

The impact the portal library would have on back-end processes in New York was more complex and would require a restructuring of the Division’s Integrated Library System (ILS). In 2008, the NYU Division of Libraries (and other members of the Library Consortium of Southern Manhattan) moved to a new ILS, Ex Libris’ Aleph. At that time a decision was made to implement a shared systems model. Within this model, bibliographic data would be consolidated to a single bibliographic record (BIB) shared across all institutions. Administrative data (circulation, acquisitions, serial control, etc.) would share a single administrative unit (ADM). Consortium members were identified by separate sub-libraries and ordering units with institutional access controlled through a complex set of authorizations and permissions. The advantage of the single BIB/single ADM model is that being fully centralized assures maximum system efficiency by reducing both tablespace and indexing times.

The initial acquisition program for NYU Abu Dhabi was to employ the same model used for Institute Libraries within the Division as well as Consortium Libraries. NYU Abu Dhabi would simply be defined as a new sub-library and corresponding ordering unit. While this approach worked well for acquisitions, unfortunately, the use of a single ADM was not possible for circulation because a shared circulation table could not accommodate multiple time zones. As a result, NYU’s ILS had to be restructured during the spring of 2010 to a single BIB/multiple ADM system model. This meant that acquisitions data for NYU Abu Dhabi entered over the preceding year had to be migrated from the original “New York” ADM to a separate “Abu Dhabi” ADM. The restructuring and migration took about three months during which all acquisitions for NYU Abu Dhabi were tracked manually and retrospectively entered into the ILS. The move to a multiple ADM environment forced these processes to shift from a fully centralized to a partially-distributed environment that required all table maintenance, automated processes, report queries, and even searches performed within the ILS client interface to be replicated within each separate ADM.

Vendor Accounts and Technical Specifications

In order to maintain consistency across the Division of Libraries, it was necessary to give special attention to how vendor accounts would be set up for the NYU Abu Dhabi Library. Although most vendors suggested and no doubt preferred to create separate accounts, a decision was made to establish the portal library as a
sub-account of the Division’s main New York account for any vendor providing order/bibliographic records, electronic invoicing, or materials on approval. The full benefits of employing sub-accounts were best seen with YBP Library Services, NYU’s primary vendor for U.S. and UK imprints. Eliminating the need for multiple logins, the use of sub-accounts not only encouraged subject specialists across the Division to track approval receipts for both New York and Abu Dhabi, but also allowed for the easy selection of items to be purchased for the portal library.

From the start, the collection development policy for Abu Dhabi preferred electronic formats over print. All electronic resources, whether acquired by New York or Abu Dhabi, were to be licensed for institution-wide access in New York and across all portal libraries. Because the Division’s electronic book holdings, including frontlist titles purchased in prepublication, were regularly updated in YBP’s GOBI platform, sub-accounts allowed acquisitions staff at all libraries to prevent unwanted duplicate orders for print resources already licensed for NYU in electronic format.

Conversely, the sub-account structure also allowed for the effective management of intentional duplication of print titles across the Division of Libraries and Consortium members. Building new library collections for the portal campus created a need for additional print copies of titles already owned by New York to be purchased for Abu Dhabi as well. Within the newly restructured ILS, holdings would continue to be consolidated on a single BIB, regardless of institution; however, the acquisitions data for portal library purchases would need to be separated and loaded into a dedicated NYU Abu Dhabi ADM. The need to effectively handle this increased duplication led to the creation of special bypass accounts.

These accounts allowed acquisitions staff to identify added copies at the time of order and enter the local bibliographic systems number (BSN) into the order template. For orders placed on these bypass accounts, the library would receive acquisitions records only and would not receive duplicate full bibliographic data. The BSN output as local data in the acquisitions data would later be used to identify the proper BIB to which the corresponding ADM and holdings record could be linked.

The use of pre-populated templates in the vendor platform also guaranteed uniformity of text strings associated with library-defined data such as sub-library, collection, and budget. The careful structuring of technical specifications further outlined local requirements to provide continuity for Machine Readable Cataloguing (MARC) formatted metadata within the ILS and to ensure that acquisitions data could be properly parsed and loaded to the correct ADM. Specifications detailing the MARC output of constant and variable local data, file naming conventions, and file transfer protocol (FTP) subdirectory locations were then revised for all Division sub-accounts by the main library in New York.

Finally, to streamline processing and reduce delivery errors, technical specifications limited the number of load files to two, one for electronic and one for print,
each containing metadata for both the NYU Abu Dhabi and New York sub-accounts.

**Record Load Automation and BIB Consolidation**

The restructuring of the ILS to a single BIB/multiple ADM system model to accommodate the new portal campuses presented several challenges for automating batch record loads: a major reduction in prime loading periods, an increased need to effectively consolidate BIBs to prevent duplication, and a new requirement to link multiple ADMs detailing acquisitions data to a single BIB. To maintain consistency, the coordination of loads would remain centralized with New York staff responsible for all scripts automating the retrieval of records, MARC validation and normalization, and batch loading.

The introduction of the NYU Abu Dhabi portal campus significantly limited the prime hours available for back-end systems processing in New York. Previous loads were run nightly after circulation closed in New York, 11:00 p.m. to 9:00 a.m. (EST). The nine-hour (eight-hour DST) time difference between Abu Dhabi and New York meant the ILS clients were now in continual use by staff from 11:00 p.m. (EST) Saturday through 11:00 p.m. (EST) Thursday. Hours when circulation was completely closed were reduced from seventy hours per week to approximately ten hours per week, primarily in the early morning on Friday and Saturday. These hours had to be reserved for server maintenance and back-end processes that heavily tax the system, such as indexing and patron loads. It was no longer feasible to confine batch record loads for bibliographic and acquisitions data to hours when the ILS clients were not in use. New loading schedules were booked during low-usage times and scripts were run while the ILS clients were still in operation. It should also be noted, timing back-end processes so as not to unduly slow system performance became all the more challenging once the NYU Shanghai Library was opened in 2013. The thirteen-hour (twelve-hour DST) time difference with New York meant that ILS clients were in continual use from 11:00 pm. (EST) Saturday through 10:00 p.m. (EST) Friday. This reduced the number of hours the ILS clients are not in use to six.

The centralization of batch loading also allowed for greater control of de-duplication of bibliographic data sent by vendors for copies of the same title ordered by several library locations. As above, pre-order searching and the creation of bypass sub-accounts effectively managed record duplication. This approach, however, could only be applied to intentional duplication identified as such at the time of order. The problem was more complex in the case of unintentional duplication. If the main New York library, a portal library, or Consortium member received the same title on approval or placed a firm order for a title purchased by a different
location before the relevant order data had been uploaded, the same BIB would be received in more than one batch file. In these instances, it was necessary to control the BIB duplication as part of the load routine. In most cases, either the International Standard Book Number (ISBN) or International Standard Serials Number (ISSN) could be used to identify the correct BIB in the ILS and to restrict the load to create only a linked holdings location rather than a BIB duplicate. The inconsistent coding of print ISBNs in vendor and publisher supplied records for electronic formats, however, created a substantial risk of incorrectly linking holdings for electronic formats to print or microform records. To control for this, NYU’s de-duping scripts had to additionally take into account data in the MARC 007 field (Physical Description Fixed Field).

While increasing the number of match points needed for positive record identification had improved accuracy, it did so at the cost of complicating the scripts. Despite the best efforts of the Division of Libraries, automated record consolidation remained prone to errors requiring manual post-load clean-up. The majority of duplication generated by portal library purchasing involved core academic titles either received on approval or firm ordered with YBP. For this category, seamless BIB de-duplication was finally achieved by repurposing the YBP Title Link Number—a proprietary system identifier assigned by YBP to track titles internally—to act as a unique persistent identifier. The Title Link Number would be included as local data in both bibliographic and acquisitions records sent by the vendor and would be loaded into the ILS BIBs as a System Control Number (MARC 035) with YBP namespace identifier. The consolidation of YBP-supplied bibliographic data and the accurate linking of holdings and acquisitions records could then be guaranteed by matching the Title Link Number and, when necessary, overlaying minimal level with full level BIBs.

While the scripts for bibliographic data could manage a single file containing records and holdings data for both New York and the portal library collections, acquisitions data needed to be parsed by sub-library (i.e. NYU New York, NYU Abu Dhabi, NYU Shanghai) prior to loading. Separate scripts were then run to build acquisitions records in their corresponding ADM. Intentional duplication of a title between New York and a portal library would result in multiple ADMs linked to a single BIB. While application of the multiple ADM model was rather straightforward for physical materials, electronic resources—routinely licensed for institution-wide access—presented unique challenges. In the simplest scenario, acquisitions data was loaded in the ADM corresponding to the funds used for purchase. In cases where the cost of an electronic resource was shared by New York and a portal library, separate orders had to be built in the two (or more) corresponding ADMs recording the respective percentage to be paid by each library. Because an individual ADM must be assigned a unique set of holding locations, a single sub-library for institution-wide access could not be shared across ADMs. To accommodate institution-wide licensing of electronic resources purchased on
multiple ADMs, separate sub-libraries with identical functionality had to be established for each portal library.

**Budget Structure and Budget Control**

The acquisitions program for the NYU Abu Dhabi library had to determine the most appropriate budget structure to effectively track material expenditures for the new portal library. The budgets needed to allow seamless integration into the accounting structures employed by both the University’s Office of the Controller and the Division of Libraries, while also remaining flexible enough to accommodate unique local reporting requirements. To achieve this goal, a less is more approach was developed. Because course curricula for NYU Abu Dhabi were not yet fully established and collection development plans were still under discussion, it was deemed unnecessary to replicate the complex sub-allocations by subject areas defined in the main library’s budget structure. At the Division of Libraries level, it was decided to restrict the tracking of expenditures along two core criteria: one-time payments vs. continuing commitments and physical vs. electronic resource formats. The portal campus structure would also present a unique challenge in that, at the University level, a discreet capital budget would be provided over several years to allow for any retrospective purchasing needed in order to build the initial collection. During the early years, funds allocated to the capital budget greatly exceeded those devoted to a small operations budget. As the collection developed, all frontlists, approval, and subscription order payments gradually shifted to the operating budget whose allocation increased as capital allocations decreased. The goal was to determine baseline-operating needs and eliminate capital expenditures for collection materials completely within five to seven years.

To accommodate this incremental shift from capital to operating funds, a parallel budget structure was created based on the core tracking criteria defined by the Division of Libraries. As local reporting needs developed, budgets could be sub-allocated as necessary. By maintaining a similar structure and naming conventions to budgets used in New York, report queries already designed to assist with fiscal management were easily modified to accommodate the portal library in Abu Dhabi. Custom reports were then created to meet local budget control requirements while maintaining regular cross-references to both University and Division reporting standards.

To further guarantee the accuracy of fiscal reporting, the main library in New York assumed sole responsibility for the final approval of all NYU Abu Dhabi invoices for material expenditures sent to the University’s Accounts Payable department for processing. Staffs at the portal libraries are required to verify any transactions made on the local purchasing card and to enter these transactions in the ILS. Complete purchasing card documentation is then scanned and sent to New York for final approval. Staff in New York complete general invoicing and verify trans-
actions on dedicated purchasing cards used by New York for global acquisitions. Once the main library confirms the invoice was accurately transcribed into the ILS and assigned to the proper budgets, the invoice is approved. Newly approved invoices are identified weekly and transaction data extracted from the ILS is sent via electronic data interchange (EDI) to the University’s accounting system. The data is also stored in the Division’s data warehouse where it may be cross-referenced to data from the University’s accounting system and made accessible for budget control. By centralizing payment approvals, the main library is able to maintain complete fiscal documentation for all expenditures immediately available for either internal or external audits. Furthermore, ready access to the documentation greatly reduces the time spent on the monthly reconciliation of the general ledger to transactions recorded in the Division of Library’s ILS.

**Conclusion**

The efficacy of the NYU Abu Dhabi acquisitions plan as a model for subsequent portal campuses would be tested with the opening of the NYU Shanghai Library in 2013. While very different in terms of collection size and scope, the workflows developed for NYU Abu Dhabi were easily adapted to the needs of NYU Shanghai and, although new challenges certainly arose, there was no repetition of the fundamental problems initially encountered with NYU Abu Dhabi. If practice makes perfect, then recent experience with NYU Shanghai has presented NYU with further opportunities to refine global acquisitions processes. Not only has the opening of a second portal library challenged New York to agilely maintain institutional integration on a global scale, it has called for NYU Abu Dhabi and NYU Shanghai to establish their own relationship and introduce new services to the burgeoning academic communities they each serve.

**Acknowledgment**

The author would like to thank Julian Everett Allgood for his valuable comments and suggestions.

**Biography**

Nina Servizzi is Head of Resource Management for the New York University Division of Libraries. She also serves on the International Relations Committee, Association for Library Collections and Technical Services Division (ALCTS) and the Policy and Planning Committee ALCTS Acquisitions Section of the American Library Association.
New York University Libraries supports technical services for two portal campuses based in Abu Dhabi and Shanghai. Staff in each location have worked together to develop a successful technical services operation that strengthens the Global Network University’s access to knowledge and management of resources. Based upon this experience, strategies are recommended for global libraries supporting a similar project. Issues considered are the coordination and communication between global and local processing units, staffing, training, and professional development in a global context, sharing the ILS system and selecting suitable vendors, providing secure global shipping services, cataloging items by surrogate, and creating a separate workflow for special collections.

Introduction

New York University has opened two portal campuses in Abu Dhabi and Shanghai whose library collections are linked within a common integrated library system (ILS). Our team consists of the Global Processing Unit (GPU) stationed in our main processing center called KARMS (Knowledge Access and Resource Management) located in New York City, and the local processing units located on the campuses of NYU Abu Dhabi and Shanghai. We call the overseas units “local” because they take charge of processing only for their portal campuses. A successful technical services operation in the Global Network University requires carefully coordinated effort and teamwork. Responsibilities and priorities need to be delegated between the GPU in the United States and the local processing units abroad. The right shipping services need to be selected for items to be shipped from the GPU to the local units in a timely and secure manner. Materials acquired by the local unit abroad will often require original bibliographic records, necessitating a
surrogate cataloging workflow in order to reduce processing time and shipping costs. Special collections, rare books, and other unique and expensive acquisitions require their own processing workflow in coordination with the main processing center’s preservation department. In this chapter, we will share some strategies we have developed from our experience pioneering a unique global library system that we hope will assist technical services employees at other institutions embarking on a similar endeavor.

Coordination between Global and Local Units

Each technical services unit within the Global Network University has a specific set of duties that complement each other and facilitate a seamless operation from the time of acquisition until the items arrive at the shelves abroad.

The main processing center KARMS is the primary location where the majority of ordinary processing takes place, consisting of the Knowledge Access (cataloging) and Resource Management (acquisitions) departments. We created the Global Processing Unit within the main processing center to focus specifically on processing items to be shipped to the sites abroad (what we call the “local” sites or units). The GPU may also assist the local unit in a variety of ways due to the advantage of their location, such as having greater access to and communication with U.S.-based services and vendors, consulting with U.S.-based faculty and subject specialist librarians for collection development, and utilizing specialized processing departments for foreign language cataloging, serials management, e-resources, book binding, and preservation.

The local units supplement the role of the GPU by increasing the efficiency and coordination of the library’s acquisitions capabilities and processing operations. A well-trained and competent local unit greatly reduces overall processing time and subsequently provides better service to users. Local staff and librarians are in the best position to communicate with the local university’s faculty, to assess their academic needs, fulfill their service requests, direct collection development accordingly, and provide feedback to the GPU for modifying library approval plans. Furthermore, the local unit is capable of enriching the global network’s library collections due to its access to unique materials acquired abroad.

In acquisitions, the GPU’s primary responsibility is to handle package ordering from vendors and automatic approval plans. Batch loading order and bibliographic records is an important component of the local library’s collection development plan and the GPU is in the best position to direct this process. In case anything goes amiss, their proximity to the U.S.-based vendors make it easier and timelier for solving problems. The local unit may have a significant disadvantage in communicating with vendors resulting from a delay due to a difference in time zone.
The GPU can consult U.S. based faculty and library selectors to assist their responsibilities in regular collection development. In contrast, the local unit can consult faculty abroad for purchasing specifically requested titles, initiating time-sensitive rush orders needed for course reserves or research, and modifying approval plans to match the ongoing development of academic programs.

In cataloging, the GPU takes responsibility for most cataloging needs, specifically batch loaded records, copy cataloging, serials and foreign language cataloging, and creating original bibliographic records. Their access to specialized library departments, particularly serials and foreign language expertise, makes them most capable of performing these services. The local unit has an important complementary role performing some copy cataloging, particularly to reduce the processing time of rush items, and assisting in the creation of original records through a process known as cataloging by surrogate.

In shipping services, the GPU takes responsibility for routine receiving, invoicing, and shipment of materials to the local site. The local units take responsibility for receiving these items, screening and evaluating which materials arrive (in case the approval plan needs to be refined), coordinating the direct shipment of rush orders, and communicating with the global unit if items need expedited processing and shipping. The local processing unit will also play an important role in transitioning the items to the access services team in a timely manner.

Effective communication between the global and local units, faculty, and specialized departments is essential for the success of this complicated interplay of duties. A strong and consolidated channel of communication will reduce the time needed to address problems and prevent emails from being bounced around to the wrong people or lost altogether. In the beginning, it is recommended that one person be assigned as a point of contact to consolidate communication between global and local units. The contact person in the global unit should have a strong working relationship with their local counterpart and be able to connect them with the right person in specialized departments for issues that arise whether involving acquisitions, cataloging, serials, e-resources, or preservation. After routine communications are firmly established, the contact person in the local unit can delegate communications duties among local staff. Development of cordial working relationships is essential for maintaining team spirit and a smooth operation during the inevitable challenges that arise from long-distance communication.

The long distance and time difference between locations means that nearly all communication and information sharing will need to be computer-mediated. A number of tools are available to support effective communication: Skype, Google Hangouts, email, instant messaging, and file-sharing applications. Policy and procedure documents can be uploaded to a wiki database for sharing between units. Long-distance training, collaborative meetings, and webinars can be offered online. Moreover, the human element ought not to be neglected and it is advisable
for the global and local staff to communicate face-to-face at some point, preferably in person, to help build a friendly working relationship.

**Staffing and Training**

Staffing the local units can be a considerable challenge depending upon the location, as hiring for library positions abroad will typically have a reduced pool of qualified applicants, especially during the start-up phase. Local staff members should have the meticulous skills needed to successfully accomplish technical services work, as well as the desire to live in the host country. Living abroad can be difficult as it usually involves moving away from family and friends. It helps for candidates to be motivated by the unique opportunity and a desire to experience a new culture or to learn a new language.

Technical services positions in the local unit might be filled only after other essential positions in the local library, such as access and reference services, have been consolidated. The global unit can provide most technical services for the local library in the beginning phases, so staffing local technical services positions only becomes necessary after the local library foundation has been built and the operation is ready to optimize and expand. Once new staff are hired, they have to be trained in the details of their work, library policies and procedures, the nuances of the university’s integrated library system, and be placed upon a realistic path of professional development and career advancement.

The best method of training new staff is a hands-on approach, shadowing and working with staff members in the main processing center. The technical services librarian for NYU Abu Dhabi Library spent three months training at the main processing center in New York before heading to the local site. This approach proved fruitful not only because face-to-face interaction is almost always the best way to absorb new information and skills, but also because personal interaction strengthens the working relationship; it is especially important for those who will communicate frequently over long distances. Our NYU-trained librarian arrived at the local site ready to teach staff new skills and train new employees. If possible, staff should periodically visit the main processing center for training, workshops, professional development, and other activities.

If travel to the main processing center is not a realistic option, then training will need to be conducted online. There are a variety of methods available and staff will need to choose which method works best to meet their objectives. Small groups can meet via Skype or Google Hangouts; larger groups can meet via stable conference calling software such as GoToMeeting. Supervisors and experienced employees can record videos of themselves performing computer tasks using screencast software, such as Jing, and share these abroad using a private video hosting service. A wiki database can be used to host and share official policy and procedure documents with all units. Local staff might want to draft their own additional training
documents tailored to their situation. It is also helpful to simplify long, detailed procedure documents into bullet points or infographics for quick reference.

For professional development, local staff can attend online workshops offered by the American Library Association and its Association of College and Research Libraries division, although the difference in time zone may make it difficult to attend live sessions. Additionally, staff should be encouraged to attend local conferences and involve themselves in professional library activities within the host country. For example, the Special Libraries Association (SLA) has a chapter for the Arabian Gulf that has provided collection development and cataloging workshops for our employees in Abu Dhabi.

NYU Shanghai Library, one of the two portal campus libraries, currently has no technical services librarian specifically for cataloging and acquisitions, so the library relies heavily on support from the GPU. The absence of dedicated staff at a local level has its advantages but also suffers from disadvantages at the same time.

Without a technical services librarian at the portal campus, the NYU Shanghai Library is able to save costs by taking full advantage of the expertise and efficiency provided by the GPU. We previously mentioned the difficulties of hiring a qualified technical services librarian for the portal campuses. With technical services handled almost exclusively in New York, the library avoids the trouble of finding a qualified candidate. As NYU Shanghai Library is still small, everyone does a little bit of everything, especially as the library is in its early phases of development. Much of the technical services work can be performed from our centralized location in New York, requiring library staff to communicate effectively and build a close working relationship with the New York team.

Despite these advantages, the lack of a technical services librarian and other support staff at the NYU Shanghai Library also has its disadvantages. Whenever a problem arises that needs an immediate solution, there is no one to consult with locally who is able to provide a professional answer. The timezone difference makes the earliest available time to address the problem in the late evening, when New York-based colleagues arrive for work. This means staff in Shanghai must work from home in the evening in order to communicate in a timely manner with the New York team. Problems of this nature also tend to be complicated and difficult to describe over email. Relying on email communication alone can produce a significant delay as email is traded back and forth when further clarification is needed. In order to quickly find the right solution, library staff in New York and Shanghai have to communicate directly via phone or Internet call.

In addition, library assistants occasionally need to deal with technical services-related issues and are often unaware of who they should contact in New York for guidance, particularly newly hired staff who do not personally know their colleagues across the ocean. A dedicated technical services librarian should be able to handle such problems locally and can streamline and direct communication to the right people in New York.
Relying solely upon the New York-based GPU has its obvious pros and cons. In the early development of the library, it makes sense to have the vast majority of the work handled from a centralized location in the United States. As the collection grows in size to fulfill the needs of increasing numbers of students and faculty, the NYU Shanghai Library will need to decide when and if a technical services librarian or additional support staff should be hired to take care of anticipated challenges in processing.

**Processing General and Special Collections**

The general collection workflows were naturally the first priority when we began establishing the local libraries’ foundations. Much of this processing is done in a manner similar to U.S. libraries: creating an approval plan from an academic library supplier, assigning selectors for collection development, etc. What made our process unique was the creation of the GPU to focus solely on technical services and global shipping for the local libraries abroad. Once the general collection was established, we began a number of special collections projects that involved their own specific procedures.

Payment for special collections items often involves unusual processes such as foreign wire transfers, pro forma invoicing, payment of individuals as opposed to institutions, and other irregular methods of payment. These types of purchases enrich the library collection but might also conflict with university policy. A committee or working group can be formed to investigate existing university policy and ensure such purchases conform to policy guidelines, as well as develop criteria for when an exception to the general rule can be justified.

Shipping expensive and rare special collections items should be kept separate from normal shipments. Normal shipping sometimes results in damage from mishandling or even the destruction and loss of items. Securing insurance, careful packing, and tracking of special collections are judicious precautions needed to protect these rare and expensive materials.

One of our major projects at NYU Abu Dhabi is the acquisition of films screened at the annual Abu Dhabi Film Festival (ADFF). Some of the films are commercially available from major vendors, but many of them were produced by independent filmmakers, which makes them more difficult to process in terms of payment and cataloging. We begin by sending a courtesy letter offering the filmmakers payment for their films to be included in our collection. We provide a statement of intent for filmmakers who are cautious about how their work will be used, plus a blank invoice for those who are not accustomed to selling their work. Since we will likely purchase from these individuals only one time, we created a generic ADFF vendor record in our ILS system. We include the name and address for each payee within each individual order record. The vendors, orders, arrival, and payment status for each film is shared between the global and local units via Google Drive.
Sometimes consisting merely of a disc (without cover, artwork, date, place of production, or studio name), each ADFF film we buy from an independent filmmaker usually has minimal bibliographic information. We have to create the best bibliographic records we can from the little we know. To this end, we created a cataloging template in our ILS system specifically for these films. Embedded in the template is metadata linking the film to the ADFF collection and making it easier for users to find these items together in our online catalog.

Our collection of rare books and maps is another component of our special collections that requires a separate workflow. These items are processed by the main processing center’s specialized departments in coordination with the GPU. The GPU will take care of acquisition and payment, while these items are shipped to preservation specialists who are able to handle and catalog such fragile and expensive materials. We make sure that these items are not mixed with normal processing workflows in order to avoid mishandling and damage. When shipping these items globally, we provide an extra measure of packing protection and shipping insurance.

Our technical services units are sometimes called upon to serve the university in other ways. NYU Abu Dhabi librarians helped create a small children’s lending library at the request of our Campus Life department. The department had no other easy way to keep efficient track of loans and we were happy to assist them. In consultation with their department, we selected a number of children’s titles for ages 3–10. We chose to use Follett as our vendor since they were able to provide us with MARC records for each title to be batchloaded into our ILS system. Each title was given a simple shelving number to make it easier for children and their families to browse the shelves. However, since NYU Abu Dhabi Library’s mission is primarily academic, we suppressed these records in our ILS from appearing in the general online catalog in order not to burden our student and faculty population with unwanted search results.

Cataloging by Surrogate

Unlike the GPU, the local unit might not be able to hire the dedicated staff needed for full-time original cataloging, either due to lack of resources or a decreased pool of qualified candidates. The local staff can be trained in copy cataloging and many times a new acquisition only needs to be attached to the correct existing record in the ILS system. However, part of the mission of the library abroad is to acquire publications and resources not easily obtainable in North America, such as local publications and government documents, foreign language works, special collections art work and films, and other unique items. These items will often require the creation of original bibliographic records for which local staff do not have time or expertise. In this case, technical services staff at the local site can implement a workflow of surrogate cataloging in partnership with the GPU via sharing of digital scans.
Staff first need to create brief bibliographic records for the items in hand containing its most basic information (title, author, publisher, date, and ISBN if available) and then complete inventory control measures such as adding a barcode, holdings record, etc. Next, using a photocopier, staff create digital image scans of the item including the front cover, the title page, the verso page which contains the item's basic bibliographic information, and the back cover. For oversized items, images may be taken using a digital camera or smartphone. These images may be shared with the full-time cataloging staff in the GPU, who will then be able to create the full records they require. Cloud drive applications such as the Google Drive are very helpful for storing and sharing the surrogate files among staff members.

Sometimes the catalogers will need information not easily obtained from the surrogate image. Typically this involves the 300 field which describes the size, illustrations, and pagination of the item. Staff in the local unit can be trained to complete this field and any other subsidiary information needed by the GPU cataloging staff. If necessary, items can be shipped back to the GPU, although this should be avoided in order to save costs and to prevent loss or damage. Surrogate cataloging is especially important for special collections items that are rare or expensive and can only be shipped at great risk.

Global Shipping Services

Once our materials have arrived at the GPU and undergone processing, we need to distribute them to the local branch libraries in a safe and timely manner. Orders placed with a local vendor abroad do not need international shipping and would save time and cost, but the majority of orders will be processed through the GPU in the U.S. The right international delivery service should be able to provide online services for easy tracking, direct contact with an account representative, established access to the host foreign country, insurance for expensive shipments (such as rare books and special collections items), and preferably, a generous discount.

The established shipping companies in this regard are UPS, FedEx, and DHL. To ensure a smooth and continuous operation, an account should be opened with the selected carrier and one person from the global and local units should be assigned as the point of contact with the account representative. When rare, but inevitable, problems occur during shipping, it is best to establish an efficient communication routine between the contacts and the representative.

The account can be set up by either the global or local units, but the advantages of either approach may depend upon the host country. Different countries have various regulations on the importing and exporting of goods. For example, sending materials to Abu Dhabi for customs clearance is often faster and easier than sending materials to Shanghai. The required documents for shipping to China can be complicated. In this case, it may be more advantageous for the local unit to take over shipping responsibilities. It is possible to hire a local book trader for customs
clearance and apply tax exemption for the university, or an import account can be opened with an American shipping company in China, such as DHL China, so that the global unit can easily schedule a delivery. Each of these options should be considered and explored before committing to a particular service.

The first shipments to the local unit will not always go smoothly, but steps can be taken to establish a process. A packing list should be created by generating a report in the ILS for each item that is ready to be shipped. All items in the box must match the packing list. The value of each item should be presented on the packing list and the declared value on the waybill must be the same as the total value on the invoice. A shipment with values over a certain amount may require additional documentation and the carrier service should be able to provide support for this. High-value packages should be insured through the carrier. The delivery services team in the global unit should use high-quality packaging and may use a scale to weigh shipments. Depending upon customs regulations, a process can be established using the right weight and value for maximum efficiency and minimum cost.

Communication between the global and locals units and the account representative is essential for a successful operation. Shipping library materials abroad always has its risks. Valuable time and money can be lost if preparations are below acceptable standards. For this reason, the contact persons should be able to easily track a package online and communicate directly with the representative in a timely manner because shipments can run into a number of complicated problems. For example, multiple boxes may be sent in one shipment but separated in different locations, or the items arrive damaged, or the online tracking service tells you the shipment is being returned without explanation, or the tracking number is not working properly. In these situations, it is important to contact the representative as soon as possible so they can open a case and investigate. Many of these problems arise due to the mishandling of the shipment by the carrier service, but most of the time they can be easily resolved by communicating promptly with customer service.

In addition, a procedure should be set up between the global and local units to account for all shipments. The local unit needs to be informed of what they should expect to receive and to be given notice of any delayed or missing packages. The longer a delayed or missing package remains unattended, the more difficult it will become to resolve the issue. Regular communication between the two units will also help the local unit plan ahead for storing and processing the items. A number of tools, such as a shared Google spreadsheet, may be used to let the local unit know the date a package was sent, how many items and boxes were in the shipment, and their tracking numbers. This is even more important for rare and expensive special collections items. The local unit should be able to confirm the receipt of delivery and its intact contents, ensuring a secure shipping process from beginning to end.
Conclusion

Coordinating technical services in a global context is a challenging task, but will ultimately enrich the scholarly community by supporting the exchange of knowledge and information across national boundaries. The creation of a global processing unit in the mainland and integrating it with the local libraries abroad is the first step towards this end. Staffing, training, and effective communication and collaboration over long distances is essential for the success of the project. After the local libraries’ primary services are established, such as reference and access, a dedicated library professional can be hired to optimize and expand the technical services operation. The result of this work will be a tightly connected global library service capable of getting users the unique items they need when they need them and offering students and scholars access to a wealth of learning and research that ordinary libraries in the mainland cannot readily provide.


Biographies

Justin Parrott has been Technical Services and Research Librarian at New York University Abu Dhabi since December 2012. He received his MLIS from Kent State University. He currently manages the local technical services unit for NYU Abu Dhabi Library and is liaison to the university’s Mathematics, Arabic, and Chinese language departments.

Wenchao P Jia was Supervisor for the Global Processing Unit, managing processing for NYU Abu Dhabi Library and Shanghai Library materials and acting as a liaison between Bobst library and Abu Dhabi and Shanghai Libraries from August 2012 to June 2015. Currently she works in the Metadata Production & Management Dept. She has worked in the Technical Services Division for the Bobst library at NYU since 1994 and she received the First Annual Dean’s Award in 2011. She has a bachelor’s degree in Mechanical Engineering.

Heng (Helen) Ge has worked at NYU Shanghai Library as a Reference and Research Services Librarian since September 2013. Her work includes reference services, faculty liaison, library instruction, collection development, and a variety of other duties. Prior to her appointment at NYU, Helen was the Technical Services Coordinator at Knox College, University of Toronto, where she was responsible for cataloging, acquisitions, reference services, and supervision of library projects. Helen holds a Master of Information Studies and an MA in Chinese History from the University of Toronto.
chapter fifteen

Resource Description and Access:
Internationalizing, Teaching, and Learning RDA Cataloging Abroad

Sheau-yueh J. Chao

This chapter presents the history and development of cataloging codes; an overview of the Resource Description and Access (RDA) training courses; the author’s experiences in library teaching and learning; cultural exchanges with the Chinese librarians at the National Central Library (NCL); international librarianship in cataloging, library technology, and development in Taiwan, the National Central Library, and the Library Association of China (LAC); and key findings of RDA in its development and transition, implementation, and implications.

Background: RDA in Global Context

Libraries are widely known for their mission of coordinating and sharing resources with their particular community (i.e., public, academic, institutional, school, etc.) and the general public. Thanks to the technological advancements in computer, telecommunication, and network technologies, libraries can disseminate and exchange information and knowledge quickly and efficiently regardless of distance or other constraints.1 With the information explosion and rapid expansion of computer networks and information technologies, opportunities for library cooperation and resource sharing on a global scale are becoming easier and more practical than ever before.2 However, due to the emergence and development of cataloging codes, growing needs include the standardization of practice and co-
operation among libraries. Compatibility of cataloging records facilitates services
to users who move from library to library, minimizes redundancy of workloads,
economizes library operations, and enables library cooperation through central-
ized or collaborative cataloging. Through collaborations we can sometimes decrease staff workloads or working at cross-purposes. Cooperative efforts provide an environment of interactive
dynamics and shared responsibilities commonly found on a local, state, regional,
national, and even international level among libraries, museums, associations, and
institutions. Through appropriate arrangements of collaborative initiatives with
other libraries or institutions, the level of partnerships shared by various library
agencies could be collection development, bibliographic data, electronic databases,
personnel, planning activities, and staff exchanges. Library cooperation should
not be confined solely to formal arrangements, but rather should be viewed in a
much broader context of informal personal interaction and sharing. For instance,
while library collaboration is indeed about sharing materials via interlibrary loan,
document delivery, and collection development, it is also concerned with sharing
individual library expertise and experiences through joint conferences, webcasts
or webinars, and personnel exchanges.

With the advent of digital formats and the increased rate of change in higher
education, shifts in the context in which libraries function have brought the library
and its catalog to a transitional point. Libraries are no longer the primary inform-
ation providers. Instead, today’s libraries are pervaded by more aggressive users seeking immediate digital information delivery services. To make an effective
transition to the new reality, libraries need to undertake a broader analysis of how
changing information technology and our rapidly evolving information resources
are reflecting librarians’ learning needs.

Since the mid-nineteenth century, a series of cataloging codes have de-
veloped. Each new code sought to improve upon the preceding ones, from the earlier
individual efforts to the later corporate undertakings focusing on international standardization and code unifications. Revisions and changes have taken place
in the cataloging codes, such as the Anglo-American Cataloging Rules (AACR)
which was adopted globally by libraries in 1967. In 1961, one of the most import-
ant events in the evolution of cataloging codes took place in Paris and a statement
of principles, which become known as the Paris Principles, was issued. The Paris
Principles is limited to the preliminary choice and the forms of headings only. Since
its appearance, many other cataloging codes have been developed according to its
provisions, notably the significant efforts by the members of International Federa-
tion of Library Associations and Institutions (IFLA) and the results of its series
of regional worldwide meetings. These meetings resulted in a worldwide agree-
ment on the set of principles called the International Cataloging Principles (ICP)
that underly cataloging practices for the digital age. It covered recommendations
regarding the standardization of choice and forms of headings, guiding principles
for constructing cataloging codes, the International Standard for Bibliographic Descriptions (ISBD), and the Functional Requirements for Bibliographic Records (FRBR) and Functional Requirements for Authority Data (FRAD) terminologies for entities and relationships.8

Our mode of recording metadata has been changed significantly since the Library of Congress adopted the RDA standard in 2013. The new RDA standard offers a major step in the improvement of resource discovery and access because it guides the recording of content-specific embedded data with a set of practical instructions for its users. The RDA standard and its alignment with the conceptual models of FRBR and FRAD are recognized by the international cataloging community with the global context in mind. It focuses on the relationships between entities and the role of relations in the success of users by eliminating the “rule of three” used in AACR2 to determine the Chief Source of Information for the main entry of an item. Most importantly, cataloging records created according to RDA guidelines are fully compatible with AACR2 records.

Besides introducing these new changes, important links continue to exist between AACR2 and RDA. These changes gave rise to an unprecedented opportunity to create new workflows and face new challenges of revisiting our workplace-learning environment. There are also challenges for the connection between MARC and AACR2. The U.S.MARC, which is known as MARC21, has been widely used since 2010 and includes the need to apply punctuation as defined by AACR2. The UKMARC has been used in the United Kingdom dealing with bibliographic control and data retrieval of records in UK libraries.9

In terms of MARC codes, there are two families of machine-readable records in use today, U.S.MARC10 and UNIMARC.11 Each MARC code defines the character sets that are legitimate for its records, which provides the standardization of data structures for the exchange of machine-readable records among the national bibliographic agencies.12 For descriptive cataloging in the Chinese language scripts, the process requires the definition of a standardized computer character set called Unicode. It is a universal character set as simple and basic as ASCII that meets the needs for supporting the major modern scripts, as well as many symbols in common use worldwide.13 Unicode also defines the three encoding forms of 8, 16 and 32-bit code units, providing flexibility that makes it suitable for implementation in a wide variety of environments, including single script, multiple scripts, or fully global, so it may be implemented internationally without boundaries.14

The primary issue for Unicode in library applications is to define mappings between the existing character sets and the character repertoire of Unicode and its applications. Library of Congress has used Unicode to specify character sets to be used in U.S.MARC records. In the OCLC Connexion Client Guide, specific instructions are given regarding the use of Chinese, Japanese, and Korean (CJK) script data to catalog items in CJK languages similar to the use of other non-Latin script data in the client module. It also provides tools for MARC-8 character veri-
fication, how to link and unlink non-Latin script data with equivalent Romanized data fields, and the use of CJK E-Dictionary for the input of CJK characters.\textsuperscript{15} Mappings have been defined for all the single scripts and may be fully developed in the future for multiple scripts as well.\textsuperscript{16}

Digital materials present a new challenge for descriptive cataloging. In the past, items have been broadly described using a set of rules utilized by the cataloger. For instance, a book contains author, title, LCCN, ISBN, imprints, pagination, and subjects. Digital resources do not always contain this information in an easily identifiable attribute and this can lead to a lack of consistency in description. Additionally, the growing number and variety of resources (e.g. DVDs, music CDs, streaming videos, e-books, e-serials, etc.) demonstrates the complexity of links and relationships between those items as to make it difficult to apply the structured rules, thus creating a bigger challenge for catalogers.\textsuperscript{17}

To reflect these changes in response to RDA is the extensible framework for describing all types of resources in the 3XX fields for physical descriptions, including Content (336), Media (337), and Carrier (338) following the replacement of General Material Designation (GMD). They are designed, not just by libraries, but by the global library community for its use, and to meet the specific needs of other communities as well. There is also greater complexity for gender as a descriptive attribute for personal names in authority records.\textsuperscript{18} Although LC limits its catalogers in the Name Authority Cooperative Program (NACO) to a binary label of male, female, or not known, RDA reinforces regressive conceptions of gender identity and gives catalogers the flexibility to record more than two gender labels.\textsuperscript{19}

Library online catalogs traditionally used the data elements produced according to AACR2 rules. Those data elements, however, were encoded in MARC format which was developed in the 1960s for typesetting by the Library of Congress to generate sets of printed index cards. In the early 1980s, MARC records were becoming the cataloging entries in online library catalogs.\textsuperscript{20}

Throughout the past decade, the need for modifications intensified in the cataloging community due to continual upgrades to the new systems. The Dublin Core (DC) metadata standards\textsuperscript{21} grew out of the contemporary needs of information users. The DC metadata fields that gave rise to other standards emerged during the same period as the World Wide Web in mid-1990s. DC articulates a context for objects in the form of “resource descriptions” which dates back to the earliest archives and library catalogs. However, today’s information professionals need a much simpler yet standard way to describe the new forms of intellectual output, as well as a more expandable and flexible way to encode the universe of digital resources. For this reason, RDA has developed to reflect the changes and needs of recording metadata which has transformed the nature and practice of cataloging standard replacing AACR2.

The significance of RDA applications lies in its improvement of resource discovery and access because it guides the recording of data in descriptive cataloging.
RDA states that descriptive records should include all of the core elements applicable to a particular resource that will enable users to find, identify, select, and obtain it. RDA builds on the foundation of AACR2 and is based on a theoretical framework that defines the shape, structure, and content of the new standard.

The key to understanding RDA is its alignment with the two conceptual models, Functional Requirement for Bibliographic Records (FRBR) and Functional Requirements for Authority Data (FRAD). It is an international cataloging system for the growing global environment, adaptable to various media and resources common in the digital age and capable of enabling global resource sharing and improving data navigation and searches.

A particular focus for RDA in cataloging is the recording of relationships: between works, expressions, manifestations and items; between persons, families and corporate bodies; and between concepts, objects, events, and places. RDA provides text linking and functionality supporting the creation of bookmarking and workflows, both institutional and user-centric.

**Library Technology and Cataloging Development in Taiwan**

Taiwan was under Japanese occupation for fifty years until 1945 when it was returned to the Chinese government at the end of World War II. At that time, there were only about one hundred libraries, including public, college, special, and local libraries of various types and sizes. Between 1945 and 1951, the government of the Republic of China began its effort to re-establish the nation’s war-stricken educational system and strengthen the support of library resources and services. Within a few years, the number of libraries in Taiwan dramatically increased, from 3,082 in 1982 to a total of 3,579 in 1989. These libraries included the National Central Library (NCL) and its local branch library as well as other academic (3%), public (13%), special (14%), and school (69%) libraries.

The modern technology of library and information services in Taiwan initiated in 1972 when the first computer processed catalog was produced at the National Tsing Hua University. The first library project went operational in 1974 for which a rudimentary machine-generated library catalog was produced in Taiwan. The introduction of the Library of Congress MARC format in the same year not only supported the computer-printed catalog cards for the first time in Western-language books in Taiwan, but also built the foundation for future integrated library systems.

Towards the end of the 1970s, libraries began to develop electronic bibliographic systems that could process Chinese language materials. Although there were few library products developed by various institutions at the time, these systems were developed in isolation and were not mutually compatible due to the lack
of national standards and coordination among information experts in Taiwan. However, some large-scale institutional plans also took place, which brought about a new stage in the advancement of library services and technology in Taiwan.

The National Central Library and Library Association of China

The National Central Library (NCL), under the jurisdiction of the Ministry of Education, is the leading national library coordinating all library-related activities in the Republic of China. NCL was established in 1933 in Nanking, China. At the time of its relocation to Taiwan in 1948, its collection was numbered 140,000 volumes. Towards the end of the World War II in 1945, the government in Taiwan made great efforts to re-build its community through several phases of technological development focusing on library resources and services. The construction of the NCL main library was completed in 1986 and the new library could accommodate 2.5 million volumes of materials and had a seating capacity of four thousand readers.

NCL cooperates with publishers and other libraries to develop its role as a leading center for knowledge and information resources and services in Taiwan. The library owns a unique collection of both historical and modern publications. The historical works are comprised of more than 135,000 volumes of rare books from the Song Yuan, Ming, and Qing dynasties, with the strength of classical literary works and anthologies published in the Ming dynasty. Formats in the collection include written manuscripts in Chinese calligraphy, woodblock prints, annotated version of books, Dunhuang scrolls, ancient books, handwritten manuscripts, Han dynasty wood strips, thread-bound classics, and stone and bronze rubbings. Current publications include books, periodicals, government documents, paintings, property contracts and deeds, postcards, and handwritten manuscripts. The materials are highly recommended for researching the topics of Taiwan’s social, economic, educational, and technological history and development.

As the national depository of the Taiwan government, NCL has been actively acquiring, collecting, and preserving government publications since the 1950s. More than sixty years later, it has collected over four million volumes in its holdings which include government publications, Chinese study materials, and e-books. In addition, there are foreign language books, theses and dissertations, journals, audiovisual materials, music scores, and electronic databases. The NCL branch library also contains an outstanding collection on subjects related to Taiwan and Southeast Asia, including gazetteers and works published during the time when Taiwan was governed by the Dutch and Spanish. NCL is working continuously to acquire, process, and preserve national publications, to sponsor educational activities and library research through international exchange programs,
and to promote scholarly interests through national and international forums such as the NCL Chinese Studies Symposium, tour exhibits, the RDA Workshop, and conferences.

The Library Association of China (LAC) was founded in 1953 as a nonprofit organization dedicated to promoting Chinese librarianship through joint efforts among librarians and library communities. One of the most important missions for LAC is to pursue the development of cooperative librarianship and establish a national library information network. Members from NCL and LAC have been working collaboratively to coordinate conferences and training workshops in Taiwan.

The Chinese American Librarians Association (CALA), founded in 1973, is a registered nonprofit organization under the American Library Association (ALA), the oldest and largest library association in the world, providing association information, news, events, and advocacy resources for members, librarians, and library users. CALA has seven chapters located in the Great Mid-Atlantic, Northeast, Midwest, Atlantic, Southwest, Southern California, and Northern California respectively, as well as membership from Canada, China, Hong Kong, Singapore, Taiwan, and other countries. The main objectives of CALA are to promote Sinono-American librarianship and library services, develop Chinese American librarianship and services, and provide a vehicle whereby Chinese American librarians may cooperate with other organizations having similar or allied interests.34

Teaching and Learning RDA Abroad

Information professionals, among them librarians, are constantly aware of the significance and benefits in exchanging and sharing their resources and services. As technological advances have allowed libraries over time to develop new types of catalogs, the cataloging environment has also undergone major changes in the nature of knowledge production.

In the past, librarians have assisted users in interpreting search results, but now users frequently search the catalog alone, on site or often remotely, so the catalog record is often the only connection between the user and a librarian. Therefore, catalogers must fully understand how the structure of catalog records function on public displays to enable users to accomplish certain tasks. Furthermore, catalogers need to apply the concepts of FRBR and FRAD to define entity relationships and user tasks to form the foundation of RDA and eventually build the relationship between end users and library resources. RDA embraces multiple opportunities for the entire user community, including both librarians and end users. It enriches user experiences by enabling catalogers to put better data into discovery platforms which will then result in better search and display options for end users.

For the next generation of catalogers, it is imperative for libraries to shift their focus on providing staff training and workplace learning opportunities in order
to make changes with bibliographic control and access to accommodate global library initiatives. With not only the Library of Congress moving to RDA in 2013, but also major public and research libraries around the world (including the British Library, Cambridge University Library, Library and Archives Canada, German National Library, and the National Library of Australia), it is necessary for librarians and cataloging staff to understand and be able to create records using the new RDA cataloging standards.  

The National Central Library and the Library Association of China sponsored an RDA Workshop which was held on May 21–23, 2013. Courses were presented by the Chinese cataloging librarians, who are members of the Chinese American Librarians Association (CALA), from the United States. The conference was entitled Resource Description and Access: A New Cataloging Standard without Boundary and without Limit. The *RDA Workbook* was developed based on the resources found in the RDA Toolkit, Library of Congress, IFLA, and FRBR. Speakers included Sally Tseng (University of California-Irvine), Charlene Chou (Columbia University), and Wen-ying Lu (University of Colorado-Boulder). Representatives from the United States were librarians Ester Lee, Carol Gee, and Sheau-yueh J. Chao. The participants included librarians, non-librarians, support staff, and teaching faculty from Taiwan and Macao.

The three day conference offered courses focusing on RDA rules and regulations. Day one included an introduction, examples of Chinese RDA records, comparisons between RDA and AACR2, and RDA cataloging for books and monographs. Day two covered RDA cataloging in continuing resources, multimedia, electronic journals, and computer resources. Day three included RDA Toolkit, corporate bodies, authority records, and series. OCLC examples of Chinese records were demonstrated to show how RDA organized information for various resources.

The instructors are experienced catalogers working in American academic libraries. They gave course lectures in Mandarin Chinese. Each course period was fifty minutes and there were three classes in the morning and four in the afternoon. Conducting a class in Chinese in Taiwan was an experience in its own right. Although the instructors were experienced in colloquial Chinese, their professional academic backgrounds, education, and training were received in the United States. One major challenge is that there is considerable variance in teaching method and curriculum design between the two countries. The sessions were structured to encourage open questions but the participants were not as enthusiastic and responsive as anticipated. There were cultural barriers for teaching RDA to non-Westerners in the conference.

The Chinese have great respect for their teachers and elders. Foreign guests are treated with great respect and utmost politeness. It is uncommon for participants to ask questions in many classes and the participants must be encouraged to engage in conversation before they will do so. Some issues arose, for example,
the cataloging of non-Roman resources using RDA, changes and concerns for diacritics in OCLC CJK, how RDA cataloging will impact my local library, and the progress of RDA implementations in Taiwan libraries. Questions can generally be answered in consultation with the RDA Toolkit and OCLC helpdesk. Regarding RDA implementation in Taiwan, the issue was answered by the Director General of NCL, Ms. Shu-Hsien Tseng.

Although the conference lasted for only three days, it established a foundation for international cataloging and library collaboration, as well as future opportunities on resource-sharing and library cooperation. Attendees not only learned about RDA cataloging and its basic guiding principles, but also expressed interest in future training courses to enhance and master RDA cataloging. Director Tseng concluded the conference by encouraging participants to become members of the American Library Association (ALA) and the International Federation of Library Associations and Institutions (IFLA) and to get involved with committees and to keep informed by attending the annual conferences. The Director emphasized the importance of developing professional skills via active participation in international conferences and getting connected with librarians internationally. She promised that the RDA forums will be repeated again at the National Central Library to assist librarians from both continents in building RDA knowledge together and learning from joint experiences to promote future librarianship in Taiwan.

Conclusion: Implications for RDA Training

The RDA Training at NCL offered an excellent launching ground for those who prefer a more social approach to skill development and problem solving. Besides formal training programs, catalogers must develop a sufficient grasp of formally presented concepts in order to apply them in the workday context. Informal meetings, such as the cataloging roundtables and special interest groups without a set agenda can help catalogers solve troublesome cataloging problems, such as questionable name authorities, multiple title changes, or several editions or versions of the same item. The webinars or webcasts (live or prerecorded), also provide a fundamental training venue for librarians in continuing education and staff development.

Cataloging is often considered to be a lonely practice. Many catalogers do in fact prefer to work alone, while others prefer consultation and discussion of the various choices they make regarding particular elements in the catalog record. Web-based cataloging services and electronic bulletins (such as those provided by the LC Cataloging Distribution Service, OCLC Support, and the American Library Association’s ALA Connect) have been invaluable for clarifying confusion about practices and offering professional help, especially for those whose preferred channel of communication is through the community of catalogers in writing.
The core resources found in the RDA Toolkit, Library of Congress, OCLC, IFLA, and FRBR are essential for developing handouts, workbooks, and teaching agendas for attendees.

Moreover, RDA training provided an important starting point of collaboration and personnel exchanges between librarians in Taiwan and the United States. It was a well-planned teaching and learning opportunity of international librarianship from both continents. Several factors contributed to its success, including project planning, workflow development, materials design, active participants, technology use, course building, teaching skills, and the overall coordination and methodology on project management. However, there is still room for further improvement, such as moving past the cultural differences and language barriers in the teaching and learning process. It is hoped that the present case study will open a dialogue with the international metadata community to promote further collaboration and personnel exchanges among libraries and institutions, and to build similar programs and training endeavors in the future.

3. Ibid.
5. Ibid.
6. Ibid.
8. Ibid.


18. Ibid.


20. Coyle and Hillmann, “Resource Description and Access (RDA).”


29. Ibid.


32. Chang and Liu, “Library Association of China, Taiwan.”
36. Ibid.

Additional Resources


Biography

Sheau-yueh J. Chao is a Faculty Librarian and Head of Cataloging at the William and Anita Newman Library, Baruch College, the City University of New York. She graduated from the University of Wisconsin-Madison with a master’s degree in Library and Information Science and earned her second master’s degree in Computer Science from the New York Institute of Technology. Chao was a CUNY delegate in residency at the Shanghai University for the CUNY-Shanghai Librarians Exchange Program, teaching at Shanghai University Library in 2010. She has published extensively in the areas of international librarianship, librarians exchange, Chinese genealogy, Asian studies, library services to multilingual and multicultural populations, and overseas Chinese studies.