



## **CAUL Meeting Papers (2005/2)**

**14-16 September, 2005  
Brisbane**

**Group Meetings 9.30 – 6.00 14 September  
Informal Dinner 7.00pm 14 September  
Business Meeting 9.00 – 5.30 15 September  
& 9.00 – 4.00 16 September  
CAUL Dinner 7.00pm 15 September**

### **Venues:**

**Ship Inn, Griffith University Southbank Campus  
CAUL Dinner @ Restaurant II  
Informal Dinner @ Customs House Restaurant**

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**CAUL Meeting 2005/2**  
**15-16 September, 2005**  
**Committee & Group Meetings 14 September, 2005**

Ship Inn, Griffith University, Southbank, Brisbane

**AGENDA**

**673. Introduction & Welcome.** Eve Woodberry, Janice Rickards

**674. Attendance & Apologies.** Expected to attend:

**From CAUL:** Des Stewart (SCU); Leeanne Pitman (UBallarat); Mary Lyons (UQ);

**Delegates for CAUL members:** Kate Sexton (USyd); Helen Mandl (UoW); Deidre Lowe (USQ); Fides Datu Lawton (UTS); Stephen Gillespie (RMIT); Jenny Peasley (Macquarie); Joan Moncrieff (Deakin); Jim Graham (ACU);

**From CONZUL:** Ainslie Dewe (AUT), Gail Pattie (UCanterbury)

**From SCONUL:** Nick Bevan, Brunel University; Sue Roberts, Edgehill College; Anne George, University College Falmouth; Tricia Heffernan, Open University; Jan Haines, Oxford Brookes University; Janet Percival, University College London; Howard Nicholson, University of Bath; Kevin Ellard, University of Central Lancashire; John Hall, University of Durham; Sheila Cannell, University of Edinburgh; Helen Durndell, University of Glasgow; David Perrow, University of Oxford; Margaret Duncan, University of Salford; Elaine Urquhart, University of Ulster; Jane Harrington, University of Westminster;

**Guests:** Professor Ian O'Connor, Vice-Chancellor, Griffith University

**Apologies:** John Shipp (USyd); Felicity McGregor (UoW); Jenny Addie (Deakin); Alan Smith (USQ); Alex Byrne (UTS); Craig Anderson (RMIT); Maxine Brodie (Macquarie); Stephen McVey (UNDA); Chris Sheargold (ACU);

**675. Arrangement of the agenda.** Items will be starred for discussion. For those items not starred, all items for noting will be considered noted, and all recommendations will be considered approved.

**676. Minutes of Previous CAUL Meeting 2005/1, Auckland, 4 April 2005.** (Paper appended)

**677. Minutes of CAUL Executive Meetings 2005/3, Brisbane, June 2005, 2005/4 3 August 2005.** (Papers (2) appended)

**678. Business arising from previous meetings, not otherwise listed on the agenda.**

**STRATEGIC PLAN**

**679. Review of the Strategic Plan.** Eve Woodberry **(Paper appended)**

**Support for Research**

**680. \*Hot Topic. Bibliometrics.** Cathrine Harboe-Ree

**681. \*Hot Topic. ARIIC (Australian Research Information Infrastructure Committee).** Derek Whitehead will provide an update on ARIIC, NCRIS, open access, and a follow-up to the April discussion of the collective movement towards institutional research repositories as a norm of university infrastructure. **(Paper appended)**

a) **ADT.** Andrew Wells

b) **APSR.** Vic Elliott

- c) **ARROW.** Geoff Payne
- d) **MAMS.** Eve Woodberry
- e) **Systemic Information Infrastructure Projects funded in 2005.** Derek Whitehead  
(Paper appended)
  - i) **RUBRIC.** Deidre Lowe

682. \*Hot Topic. **E-Research Coordination Committee.** Cathrine Harboe-Ree

683. \*Hot Topic. **Google Digitisation Project.** David Perrow

684. \*Hot Topic. **Scottish declaration on Open Access.** Sheila Cannell

685. \*Hot Topic. **National Print Collection for JSTOR titles.** Helen Livingston

686. **ADT (Australian Digital Theses) Program.** Andrew Wells **(Papers (2) appended)**

Recommendation to CAUL:

*Endorse Australasian Digital Theses Program Business Plan 2006-2009*

687. **CAUL Electronic Information Resources Committee (CEIRC).** Heather Gordon **(Paper appended)** Recommendation to CAUL:

*That CAUL approves the 5% increase to the CEIRC levy for 2006.*

688. **National Licensing Reference Group.** Discussion paper 2005. Heather Gordon **(Paper appended)** Recommendation to CAUL:

*That CAUL consider the comments made by CEIRC to the proposal by the National Licensing Reference Group and prepare a CAUL response before the second forum on national licences on 12 October 2005.*

#### **Support for Teaching & Learning**

689. \*Hot Topic. **SCONUL Taskforce on eLearning.** Sue Roberts

690. **Information Literacy Working Group.** Ruth Quinn **(Paper appended)**

691. **EndNote.** Collaborative development of support & training resources. Helen Mandl **(Paper appended)**

#### **Management for Best Practice**

692. **Best Practice Working Group.** Helen Livingston **(Papers (2) appended)**

**Recommendations to CAUL:**

**Rodski:** *That CAUL consider how it might wish to work with Rodski on developing and improving surveys.*

**Performance Indicators for Digital Reference (Information and Research) Services:**

*That CAUL note progress with the project.*

693. \*Hot Topic. **Rodski Client Survey.** Stan Rodski will attend the meeting to provide an update on developments with Rodski surveys and to respond to questions.

694. \*Hot Topic. **Current QA Procedures (best practice) in SCONUL.** Howard Nicholson

695. \*Hot Topic. **Staff Development.** Andrew Wells

696. **Statistics Focus Group.** Derek Whitehead **(Paper appended)**

697. **Standards.** Report on activities of Standards Australia Committee IT/019 **(Paper appended)**

#### **Advocacy & Communication**

698. **Copyright.** Eve Woodberry **(Papers (3) appended)** Recommendations to CAUL:

ALCC (see attached discussion paper for background)

1. *That CAUL continues to support the ALCC in 2006, and discusses with the Committee increased representation on university library issues.*
2. *That when the current Copyright Advisor departs, CAUL considers future support of the ALCC based on the changed environment and the value it receives from the ALCC.*

WIPO recommendation ( see attached document)

*That CAUL endorses the "Library-Related Principles for the International Development Agenda of the World Intellectual Property Organization" developed by IFLA CLM.*

- 699. \*Hot Topic. CAUL survey on the use of licensed materials.** Eve Woodberry
- 700. \*Hot Topic. Impact of the new music licence.** Derek Whitehead
- 701. \*Hot Topic. Educational Statutory Licence & sale of IP through DOIs.** Andrew Wells
- 702. \*Hot Topic. Study Tours.** Reports from tours of China 2004 and USA 2005. Shirley Oakley, Ray Choate
- 703. Relationships with other Organisations.**
- a) **CAUDIT. CAUDIT PKI Project.** Maxine Brodie **(Paper appended)**  
 Recommendation to CAUL:  
*Pilot Project complete. CAUL Executive to confirm CAUL representative on this project Steering Committee if required by Lead Institution.*
  - b) **National Library of Australia. Kinetica Advisory Committee.** John Arfield **(Paper appended)**
  - c) **Regional Groups of University Libraries.**
    - i) **QULOC.** Heather Gordon **(Paper appended)**
    - ii) **Unilibraries SA.** Bill Cations **(Paper appended)**

#### CAUL Administration

- 704. CAUL Finances.** Derek Whitehead **(Paper appended)**
- a) **CAUL Budget 2005.** Derek Whitehead **(Paper appended)**
  - b) **CAUL Budget 2006.** Derek Whitehead **(Paper appended)**
    - i) **Australian Libraries Copyright Committee.** Eve Woodberry.  
 Recommendations to CAUL:
      - (1) *That CAUL continues to support the ALCC in 2006, and discusses with the Committee increased representation on university library issues. @ AUD 20,000*
      - (2) *That when the current Copyright Advisor departs, CAUL considers future support of the ALCC based on the changed environment and the value it receives from the ALCC.*
    - ii) **Australian Digital Alliance.** Derek Whitehead **(Paper appended) @ AUD 500**
    - iii) **COUNTER.** Derek Whitehead **(Paper appended) @ USD 500.00**
    - iv) **SPARC (The Scholarly Publishing & Academic Resources Coalition).** Andrew Wells **(Paper appended)** Recommendations to CAUL:
      - (1) *Continue SPARC membership for 2006 @ USD 5,000*
      - (2) *Review in 2006*
      - (3) *Invite other CAUL members outside Go8 to contribute to membership fee.*
    - v) **IFLA Membership.** Alex Byrne **(Paper appended)** Recommendations to CAUL.
      - (1) *Continue IFLA membership for another 3 years @ EUR 1,000*

(2) *Review in 2008*

(3) *Prepare to nominate Australasian members to key standing committees in the 2007 election process.*

**705. Executive Officer's Report.** Diane Costello (**Paper appended**)

**706. Forthcoming Meetings**

a) **CAUL Meeting 2006/1.** Canberra, 6-7 April 2006.

b) **CAUL Meeting 2006/2.** Perth, 18-19 September 2006, in conjunction with ALIA 2006.  
Imogen Garner

**707. Other business.**

	<b>CAUL Meeting Schedule</b>	<b># pax</b>
	<b>Wednesday 14 September</b> Colours indicate members attending more than one meeting, to avoid clashes. <b>Venue: Griffith University, Southbank Campus, Queensland College of Art - Webb Centre (S02)</b>	& Room
	Room A: Fine Art Meeting Room 6.19 Capacity: 12 people Booked: 9.00am - 6.00pm	Room B: Boardroom 7.16 (Level 7) Capacity: 24 people Booking: 9.00am - 6.00pm
	Room C: Meeting Room 7.04 Capacity: 12-15 people Booking: 9.00am - 6.00pm	
9.30-1.00	CAUL Executive Eve Woodberry, Cathrine Harboe-Ree, Jeff Murray, Derek Whitehead, Andrew Wells, Diane Costello	6 A
1.00-2.00 1 hour Wednesday afternoon	Dual Sector Universities Doreen Parker, Derek Whitehead, Leanne Pitman, Ruth Quinn, Craig Anderson catering requested	5 A
1.30-3.30 two hours perhaps at 2pm or 3pm	Innovative Research Universities Australia (IRU) Libraries Bill Cations, Margaret Jones, Earle Gow, Maxine Brodie, Greg Anderson, Janice Rickards catering requested	6 B
2.00-3.30 1.5 hours Wednesday afternoon	New Generation Universities Libraries Group Doreen Parker, Heather Gordon, Liz Curach, Chris Sheargold, Des Stewart, Graham Black, Leanne Pitman, Anita Crotty, Jeff Murray catering requested	9 C
2.00-4.00 2 hours after 1.30	LATN Craig Anderson, Fides Datu Lawton, Imogen Garner, Helen Livingston, Gaynor Austen, Ainslie Dewe catering requested	6 A
3.30-6.00 Wed pm late, 2.5 hours,	Best Practice Working Group Gulcin Cribb, John McKinlay, Derek Whitehead, Liz Curach, Helen Livingston, Heather Gordon, Ruth Quinn and Greg Anderson. Guest: Stan Rodski catering requested & whiteboard	9 B
5.00-6.00 1 hour late afternoon	Go8 Kate Sexton, Andrew Wells (chair), Mary Lyons, Vic Elliott, Cathrine Harboe-Ree, Linda O'Brien, John Arfield, Ray Choate	8 C
<b>7pm</b>	Informal dinner @ Customs House, 399 Queen Street <a href="http://customshouse.com.au/index.html?page=19903">http://customshouse.com.au/index.html?page=19903</a>	20-25
	<b>Thursday 15 September</b>	
<b>9-10.30</b>	<b>Hot Topics</b>	
9-9.15	*(1) Vice-Chancellor on developments in education in Australia. Ian O'Connor, Vice-Chancellor of Griffith University. <b>15 minutes</b>	
9.15-10	(14) Stan Rodski will attend the CAUL meeting to provide an update on developments with Rodski surveys and to respond to questions. Helen Livingston <b>45 minutes</b>	
10-10.30	****(8) Bibliometrics. Cathrine Harboe-Ree has attended a DEST meeting with Linda Butler. The RQF report is due in August. Cathrine Harboe-Ree <b>30 minutes</b>	
<b>10.30-11</b>	<b>Tea Break</b>	
<b>11-1</b>	<b>Hot Topics</b>	
11-12	***(2) FRODO progress reports. This will include a demonstration of the ADT repository. <b>60 minutes</b>	
12-12.30	***(3) Projects funded under the ARIIC 2005 round. The new projects will have a very short time-frame. Derek Whitehead RUBRIC. Deidre Lowe <b>30 minutes</b>	

	<b>CAUL Meeting Schedule</b>	<b># pax</b>
12.30-1	* (13) Eresearch Coordinating Committee. Cathrine Harboe-Ree <b>15 minutes</b>	
<b>1-2</b>	<b>Lunch</b>	
<b>2-3</b>	<b>Hot Topics</b>	
2-2.30	'SCONUL Taskforce on E-learning'. Sue Roberts <b>30 minutes</b>	
2.30-3	Current QA procedures ('best practice'). Howard Nicholson <b>30 minutes</b>	
3-3.30	Google digitisation project. David Perrow <b>30 minutes</b>	
<b>3.30-4</b>	<b>Tea Break</b>	
<b>4-5.30</b>	<b>Hot Topics</b>	
4-4.30	Scottish Declaration on Open Access, and more generally in this area from the UK. Sheila Cannell <b>30 minutes</b>	
4.30-5.30	* (6) Outgoing CAUL study tours. Study tour reports - China, USA. Shirley Oakley, Ray Choate <b>60 minutes</b>	
<b>7-11</b>	CAUL dinner @ Restaurant II (Two), 2 Edward Street <a href="http://www.restaurant2.com.au/">http://www.restaurant2.com.au/</a>	
	<b>Friday 16 September</b>	
<b>9-11.45</b>	<b>Hot Topics</b>	
9-9.15	* (15) one print set of each JSTOR title held in South Australia , in our regional repository Universities Research Repository South Australia ( URRSA). This raised the question of whether CAUL has considered, or should be considering, this issue on a national basis. That is should we ensure that one complete print set of each JSTOR title ( taken by CAUL members) is retained somewhere in Australia ? And if so we should determine a mechanism for implementing this. We think it would be best as a hot topic. Helen Livingston <b>15 minutes</b>	
9.15-9.30	* (10) Go8 discussions with subscription agents. Andrew Wells <b>15 minutes</b>	
9.30-9.45	(9) Survey on the use of licensed material. <b>15 minutes</b> Eve Woodberry	
9.45-10	**-(12) Impact of the new music licence. Derek Whitehead <b>15 minutes</b>	
10-10.15	* (11) Educational Statutory Licence and CAL's sales of intellectual property through DOIs. Andrew Wells & Eve Woodberry <b>15 minutes</b>	
<b>10.15-10.45</b>	<b>Tea Break</b>	
10.45-11.30	(5) Staff development. John Arfield will discuss the WAGUL project on secondments and staff-sharing, and Andrew Wells on Aurora. LATN has done a report on succession planning, and Gaynor Austen has been approached. <b>45 minutes</b> Andrew Wells	
<b>11.30-1</b>	<b>CAUL Business</b>	
<b>1-2</b>	<b>Lunch</b>	
<b>2-4</b>	<b>CAUL Business</b>	



**CAUL Meeting 2005/1  
Joint Meeting with CONZUL**

**4 April, 2005  
from 9am to 5pm**

SKYCITY Auckland Convention Centre, NZ

**DRAFT Minutes (updated 14/7/05)**

**645. Introduction & Welcome.** Gail Pattie welcomed CAUL and CONZUL members to the meeting, saying that it was a great pleasure to host CAUL members for the third time. Eve Woodberry thanked CONZUL members for their invitation and welcome. Eve Woodberry read out a letter from Madeleine McPherson who is still unwell but sends her best wishes to colleagues and friends in CONZUL and CAUL.

In addition, she expressed a special welcome to Helen Livingston who is the new CAUL member from the University of South Australia. Derek Whitehead introduced her more formally, highlighting her previous activities on behalf of CAUL and Deakin University, eg as chair of the Kinetica users group, and noted that she has already won the admiration and affection of CAUL members.

It is Michael Wooliscroft's last week at the University of Otago and has sent his regrets that he is unable to attend. Gail Pattie noted the death of John Frampton formerly of Lincoln University. At Isobel Mosley's last meeting, she was farewelled in song by her colleagues.

Heather Gordon expressed thanks and appreciation to Tony Millett for his longstanding contribution to CAUL, through significant service to the CEIRC Committee.

Alan Bundy retired in late 2004 and the CAUL president has written to him on CAUL's behalf.

**646. Attendance & Apologies.**

**From CAUL:**

Vic Elliott, ANU  
Gulcin Cribb, Bond U  
\*Anne Wilson, CDU  
Graham Black, CQU  
Shirley Oakley, CSU  
Imogen Garner, Curtin U  
Jeff Murray, ECU  
Bill Cations, Flinders U  
Janice Rickards, Griffith U  
John McKinlay, JCU  
Earle Gow, La Trobe U  
Maxine Brodie, Macquarie U  
Cathrine Harboe-Ree, Monash U, Deputy President  
Margaret Jones, Murdoch U  
Gaynor Austen, QUT  
Craig Anderson, RMIT U  
Alison Ransome, SCU  
Derek Whitehead, Swinburne U  
Ray Choate, U Adelaide  
\*Alan Brady, U Ballarat  
Anita Crotty, U Canberra  
\*Nicki McLaurin Smith, U Melbourne

Eve Woodberry, UNE, President  
Andrew Wells, UNSW  
\*Jan Gordon, UNSW@ADFA  
#Greg Anderson, U Newcastle  
#Mary Lyons, UQ  
Helen Livingston, UniSA  
\*Alison Hunter, USQ  
John Shipp, U Sydney  
Linda Luther, U Tasmania  
Dr Alex Byrne, UTS  
Heather Gordon, USC  
John Arfield, UWA  
Liz Curach, UWS  
Felicity McGregor, UoW  
Doreen Parker, VU

#Acting Director  
\*Delegate of CAUL Member  
In attendance:  
Diane Costello, CAUL

**From CONZUL:**

Ainslie Dewe, AUT  
 Heather Jenks, AUT  
 Isobel Mosley, Lincoln U  
 Sue Colyer, Lincoln U  
 John Redmayne, Massey U  
 Linda Palmer, Massey U  
 Janet Copsey, U Auckland  
 Gail Pattie, U Canterbury, President, CONZUL  
 Priscilla Read, U Canterbury  
 Rosemary Hudson, U Otago  
 Sue Pharo, U Waikato  
 Tony Millett, U Waikato  
 Keith Webster, VUW  
 In attendance: Rachel O'Shaughnessy, NZVCC

**Guests:**

Guests: Judith Peacock, Information Literacy  
 Coordinator, QUT

**Apologies:**

Chris Sheargold, ACU  
 Ruth Quinn, CDU  
 Jenny Addie, Deakin U  
 Leeanne Pitman, U Ballarat  
 Linda O'Brien, U Melbourne  
 Cliff Law, UNSW@ADFA  
 Stephen McVey, UNDA  
 Alan Smith, USQ  
 Michael Wooliscroft, U Otago

**647. Arrangement of the agenda.** Items were starred for discussion. For those items not starred, all items for noting were considered noted, and all recommendations will be considered approved.

**648. Minutes of Previous CONZUL Meeting,** 18-19 November, 2004 The minutes have been circulated and amendments noted. It was moved that they have been accepted. Approved.

a) **Business arising from previous meeting, not otherwise listed on the agenda.** There was no business arising

**649. Minutes of Previous CAUL Meeting,** 13-14 September, 2004. The minutes were accepted.

a) **Business arising from previous meetings, not otherwise listed on the agenda.**

i) **Services to Offshore Students.** Alex Byrne. A follow-up paper and report were circulated to members on March 31. This item was not discussed, and the recommendations are therefore accepted.

*That the CAUL Principles for Library Services for Offshore students be adopted in all Australian universities as part of quality assurance mechanisms for offshore courses.*

*That the recommendations of this report be noted and communicated to IDP Education Australia and Australian Education International.*

**650. \*Minutes of CAUL Executive Meetings.** 2004/6 Brisbane, 6 December and 2005/1 Canberra, 15 February. In response to an inquiry from Bill Cations, Andrew Wells referred to the e-research seminar noted in the minutes, saying that there are no firm plans yet, but that DEST is establishing an e-research committee.

**STRATEGIC PLAN**

**651. \*Review of the CAUL Strategic Plan.** A full review of the strategic plan was under taken in 2003. The Executive reviewed the actions for 2004 and proposed a number of new and amended actions for 2005. Eve Woodberry advised members that the plan would be reviewed at CAUL meeting 2006/1, and invited members to comment on the proposed actions for 2005.

Liz Curach recommended that item 6 be postponed to 2006 following the conclusion of the UNISON project, when data is likely to be available for follow-up by CAUL.

It was suggested that the goal and rationale of the contribution to teaching and learning regarding the emerging nexus between research and teaching & learning take into account the political agenda which appears to push the two further apart. A reference should be made to the increase in publishing of primary research.

Item 12 should name the FRODO projects as one way of moving the agenda forward.

The latter part of item 15 should be deleted as NCRIS is already covered under communication and advocacy.

Under item 13, it was noted that it is unlikely that ARIIC will support any digitisation projects, and that an approach such as ANU's newspaper digitisation project was more achievable. It was agreed that a working group draft a framework under which digitisation projects could be identified and supported.

The survey in item 20 has been completed so this item should be deleted.

Item 5 refers to copyright and digital objects and needs to be clarified to reflect CAUL's role in the identification of data to be collected under the statutory licence, and in collecting that data. **(Action: DW, EW)** Copying under the EUS (Electronic Use System) may be either copyright or fair dealing.

Item 19 will be clarified to specify the digital reference component of library information and research services. **(Action: CAUL Executive)**

- 652. \*CAUL Achievement Award.** Eve Woodberry congratulated Judith Peacock, Information Literacy Coordinator, Queensland University of Technology, on winning the 2004 award, and read the citation. In response, Judith thanked CAUL, the many institutions she has visited over the years, and her library director for the nomination, and delivered a presentation on the role that CAUL and CONZUL could take in support of institutional programs in information literacy.

She addressed learning and practice across universities, and relationships with other peak bodies. CAUL has a role in positioning librarians in front of academic staff, to empower staff to work with the academic community. A key role for CAUL is developing relationships and advocating improvements in government, public and institutional policy. It is also in a position to provide strategic assistance to groups such as QULOC and ANZIIL.

Learning online, eg AIRS Online which specifically targets offshore students, is expensive in both human and technical costs, which could be minimised by working together.

CAUL can be considered a leader in the information literacy area because it has developed and supported a common understanding of its language. This can be continued through strategic documents. CAUL has developed an assessment tool, whose development efforts have already fed into the work of a number of institutions. It is designed to evaluate how well information literacy works in classes. Judy recommended that CAUL and CONZUL develop some benchmarking criteria.

CAUL could be a driving force in the development of institutional repositories of teaching tools and learning objects and other course material.

The symbolism of the presentation backdrop of the Campo de Fiore was explained – all market stall holders have a standard of product excellence driven and maintained by the competition among, and exposure to, the other excellent stall holders.

### **Support for Research**

- 653. \*ADT (Australian Digital Theses) Program.** A report from Andrew Wells and a draft business plan were circulated with the agenda. Andrew Wells reminded members that the current business plan was approved at CAUL 2002/1 in Perth. The arrangement then set in place and the committee construct appear to be working well, but he invited members to consider whether an organisation other than UNSW might be better placed to manage the program. The presence of CAPA and DDOGS representatives has been highly beneficial, and both organisations have been strong ambassadors for the ADT.

The business plan will be completed by the end of 2005, and will include more details on hardware and software costs. Some items will be clearer when the ADT-ARIIC project is complete.

The ADT-ARIIC project should be completed within 3 months. Data building for the expanded repository/database is now underway and is expected to reach about 130,000 records (now approx. 3,000+). The data extraction algorithm has been refined as much as possible but will still result in some records which will require local, manual intervention eg some masters by coursework records will be retained. ProQuest's BEPress is being investigated as an alternative method of managing theses.

The business plan addresses significant changes in local environments and assumes that most will move from the ETD software to the university's IR software. It was suggested that the plan include a section on risk management, particularly in relation to copyright. It was noted that a section on copyright was included on the ADT website. The cost and value of participation in NTLTD will be addressed, possibly after ETD 2005.

Although ten institutions already have mandatory submission, it was agreed that it is likely to be a problem for some institutions for some years to come. ADT has been designed to respect local conditions: mandatory submission will never be a precondition of participation; one institution is only exposing its theses to the abstract level. A working group is currently describing the process of taking mandatory submission proposals through the university structures.

The Universities of Canterbury and Otago are both contributors, and Massey has joined in principle.

- 654. \*ARIIC (Australian Research Information Infrastructure Committee).** John Shipp spoke to his report, circulated prior to the meeting. He advised members that a call for funding applications would be released April 8. He invited members to discuss the bids of projects they would like to see funded. He

asked whether CAUL should identify an infrastructure-related goal to help focus on projects which would support it eg "an IR in every university by the end of 2007".

John Shipp advised members that content was unlikely to be funded, and not considered to be research infrastructure by the ARC or chair of ARIIC. A possible exception could be Australian research material, with an identifiable research outcome eg the digitisation of CSIRO Publishing's archives, to be made available to everyone. Any content would have to be a one-off capital cost and the content would have to benefit everybody.

Some suggestions included:

- expanding the ADT by digitising more theses, although it was noted that many academics are implacably opposed to exposing theses on the basis that they were not intended for publication; and would prefer more recent content.
- FRODO projects: Some need to be fast-tracked; some may be opened up to other participants.
- Open access: need to be more rigorous about what is meant by supporting open access and moving to open access, what we want to achieve by it; whether the intention is to put pressure on the larger publishers; who will pay the submission fees – the institution, the researcher, etc; how to implement open access within institutions; CAUL's role in supporting implementation.

It was noted that 16 Scottish universities have agreed to mandate deposit of research papers and doctoral theses. For Australia, this would require the support of ARC and the AVCC.

- Institutional repositories: many institutions don't have the resources, and it can be difficult to find support staff; the FRODO projects may take on a wider range of roles and can identify the underlying strategies that need to be put in place. DEST is leaning towards government funded research being made available via open access, which will require institutional repositories, but ARIIC won't fund them, and the ARC won't fund submission fees. It was noted that the cost of Institutional repositories was not in the hardware or software but in the staff resources to populate them.

The discussion of possible projects for which funding may be sought under SII next round continued after the FRODO presentations.

Members agreed with the need to audit institutional preparedness for establishing Institutional repositories – what needs to be done, what software is required or will suit best the local environment, development of an action plan, support for implementation – it was agreed that a proforma for institutional audits would be very useful as an internal advocacy tool. It would also help to identify the kind of model required eg ADT-type model, ProQuest-type bureau model, etc.

An audit would also be useful for the e-research agenda.

It was noted that awareness of the work being done by libraries to develop institutional repositories is not widely known or well understood within institutions. Both CAPA and DDOGS may be able to assist. Researchers may need help with metadata schema and other standards for their digitisation projects. Many are less interested in published articles than they are in the underlying data which requires organisation and preservation. The University of Sydney has 28 groups involved in SORTT, all with Institutional repositories of various kinds, helping to highlight support requirements needed across the university.

John Shipp will circulate the call for funding applications. **(Action: JS)**

- a) **ADT Redevelopment.** This item was discussed under 653 above.
- b) **APSR (Australian Partnership for Sustainable Repositories).** Vic Elliott discussed recent developments in the project, noting that Tom Ruthven, the executive officer, had left to take up a position at the University of Miami. "dSpace in a Box" was released on Friday April 1.

The projects which make up APSR are focussed on sustainability, both access and preservation, and on services rather than technology. A forthcoming paper by Kevin Bradley of the NLA is likely to become a key paper in the field of digital sustainability. [Later note: Guidelines on the Production and Preservation of Digital Audio Objects (TC-04) was prepared by IASA's renowned Technical Committee, and edited by Kevin Bradley of the National Library of Australia. <http://www.iasa-web.org/tc04/index.htm> ]

The range of software being used across the projects are dSpace, Fedora, etc. with the University of Sydney demonstrating a complex distributed environment and the University of Queensland's Research Finder exposing a number of repositories.

"dSpace in a box" provides a package of experimental software, available from the ANU website as scripts which download and instal software. ANU will provide technical support as its contribution to the open source movement.

A workshop on digital sustainability will be held in early June to coincide with the visit of Chris Rusbridge, the director of the Digital Curation Centre.

- c) **ARROW (Australian Research Repositories Online to the World)**. Cathrine Harboe-Ree described ARROW as an information management tool, harnessing institutional output in a number of ways. Learning how to embed institutional repositories into the institutional workflow is essential to populating the repositories.

Even though Monash is committed to Fedora, the project is building modules with applications which can be layered. It is funding the development of VTLS's VITAL which will be available as open source. In June, a demonstration version will be available, displaying the full complement of content types, in time for the forthcoming APSR/ARROW roadshow.

The NLA-developed national discovery service is a very elegant presentation, designed to be a national, or even Australian service, and is drawing interest from JISC. It captures data from non-ARROW repositories, but is restricted to print content.

The most important part of the project, the IM tool, will support the annual reporting to DEST of research publications. Although Monash, Swinburne and UNSW are all using Research Master, it is intended to be a module which can be linked to other databases.

Some content held in the ARROW repository is likely to be exposed only to the abstract level, for copyright reasons.

Swinburne is testing journal publishing using OJS software, which is also used at UTS. It will be included in the suite of tools, able to be integrated with Fedora.

Monash is mandating submission of doctoral theses from 2005, but only exposing to abstract level initially. This obviated the need to process copyright clearance or considering the publishing potential.

- d) **MAMS (MetaAccess Management Systems)**. Eve Woodberry reported that she is replacing Madeleine McPherson on the MAMS Steering Committee, but won't receive her first briefing until the next meeting.

655. **CAUL Electronic Information Resources Committee (CEIRC)**. A report by Heather Gordon and the CEIRC operational plan were circulated with the agenda. Heather Gordon will take up the desirability of putting up projects for ARIIC funding with John Shipp. **(Action: HG)**

656. **\*TEC: National Consortium Licences**. Isobel Mosley reported on negotiations with ISI and Elsevier Science on behalf of CONZUL, 3 polytechnics and the CRIs, focussing on cost allocation models to be implemented when the current TEC funding finishes.

A rough model based on 40% FTE and 60% gain on residual content was used, but refined using "pragmatic judgement". The final agreement will depend on individual institutional budget decisions.

657. **\*Electronic Purchasing in Collaboration (EPIC) and Governance**. Heather Jenks reported on the EPIC project, the New Zealand National Site Licence Project which has licensed a number of databases from Thomson Gale and EBSCO. The project began in 2002, with a view to a self-funded national consortium. The first licensed products were made available in 2004.

Renewals for 2005 ensured the continuation of the project, although some libraries dropped out. The vendors have put major efforts into training and promotion, especially in regional and rural libraries, where exposure to electronic resources may have been minimal. The current participation rate is around 50% of libraries.

The National Library of New Zealand hosts the project, and manages the licences. All sectors are represented on the steering committee, and all sectors participate to a greater or lesser extent.

658. **\*New Zealand Online – Proposal from the Library and Information Advisory Commission (LIAC)**. Ainslie Dewe outlined the concept of NZOnline which aims to develop a register of digitisation initiatives, with an emphasis on Maori knowledge. It will be seen as a virtual New Zealand, with content, confidence (both with respect to information literacy and information security) and connection (bandwidth). It will require not just mapping but a strategy to move it forward. Information literacy will be virtual, for both users and library staff. The intellectual property framework must recognise Maori culture and cultural property.

New Zealand Online will involve:

- a contestable fund
- content and collaboration strategies
- creation of new content
- information literacy

**659. \*Shared Store.** Janet Copsey spoke to the paper circulated prior to the meeting, noting that CONZUL had covered many of the same issues as CAUL in consideration of the viability of a national store, deciding on a single store to be shared by both NLNZ and CONZUL. Issues to be resolved include ownership of the store and its contents. It is understood that the consultant holds copyright on the modelling process.

### **Support for Teaching & Learning**

**660. Information Literacy Working Group.** A report from Ruth Quinn was circulated with the agenda. This item was not discussed.

**661. \*BONUS (Books for NSW Universities).** In response to a question on the delivery of the requested items to the user, Greg Anderson outlined the project and reported that items were delivered to the requestor's library. A union catalogue of the participating libraries has been built. Load balancing will be handled by the system, Innovative's INNREACH. Cost of retrieval of the item and preparation for delivery is calculated at \$1.71 for BONUS, compared with \$7-8 for inter-library loan. The purpose of the research study is to determine the benefits of unmediated book requesting systems and if successful, the concept will be tested in the market.

### **Management for Best Practice**

**662. \*Best Practice Working Group.** Felicity McGregor reported on the meeting held April 3. She reported that the UNISON digital reference project is progressing well, noting that it followed on from work undertaken by CRIG, the CAVAL Reference Interest Group.

QUT is trialling a materials availability survey for electronic resources later in 2005. It was agreed to update CAUL's materials availability indicator, taking into account the form and outcome of the survey at QUT. **(Action: BPWG)**

A proposed 2005 action item is to review and compare the client surveys from Rodski and ARL (LIBQUAL+). It was noted that QULOC is holding a seminar on client surveys in July. Some members will be using Rodski's employee survey and the newly developed survey of off-shore students in 2005. The QULOC seminar will include Stan Rodski and RMIT discussion of their implementation of LibQUAL+.

In discussion of the two surveys being used in 2005 by CAUL members, Rodski and LibQUAL+, and whether the proposed review should be undertaken, the following issues were raised:

- Is CAUL going to choose between the two?
- Should other surveys be reviewed?
- Members may choose to use either, or both, Rodski and LibQUAL+.
- The two surveys do different jobs, and RMIT will continue to use both.
- Continue with Rodski because of the investment already made?
- CAUL should assist members to develop tools but not define what individuals use.
- Benchmarking is easier if using the same tool
- Whichever tool is used, it needs to be combined with other tools to achieve specific results.
- Cheap, useful and fairly valid (Rodski)
- CAUL members should decide how important it is to use the same instrument
- Rodski has achieved a level of authority in the sector, often being specifically targeted in university audits.
- Have a Rodski time series back to 2001

It was moved (Bill Cations, Craig Anderson) that the review of Rodski and LibQUAL+ was unnecessary and that it be deleted from the 2005 action plan. Carried.

Doreen Parker reported that a number of universities will be participating in the extended Rodski survey for offshore students later in 2005.

- 663. Statistics Focus Group.** A report from Derek Whitehead was circulated with the agenda. This item was not discussed.
- 664. \*Practice-based Research.** Imogen Garner spoke to the paper on practice-based research circulated with the agenda. She highlighted that the range of research being undertaken in all CAUL libraries, noting that little of it is shared outside the institution, or is hard to find on the institutional website.
- Some options for managing this information better included depositing in Institutional repositories where these exist, depositing to the ALIA repository managed by the University of Melbourne, or link to the CAUL website.
- Members were encouraged to make their papers and associated objects available on their websites. It was agreed to examine how best to point to this information from the CAUL website. **(Action: IG, DC)**
- 665. Standards.** (A standing item) Maxine Brodie, Derek Whitehead.
- a) **Standards Australia Committee IT/019.** A report from Maxine Brodie was circulated with the agenda. This item was not discussed.

### Advocacy & Communication

- 666. Copyright.** A report from Eve Woodberry and a report of the AVCC Information Policy & Strategy Forum, 16 March, 2005 were circulated with the agenda. This item was not discussed.
- 667. Relationships with other Organisations.**
- a) **National Library of New Zealand.** Gail Pattie
- b) **National Library of Australia.**
- i) **Kinetica Advisory Committee.** John Arfield. Following the Kinetica Advisory Committee meeting on March 24, and the report was circulated to members on the 31<sup>st</sup>. This item was not discussed
- c) **\*SCONUL.** A SCONUL tour of Australia will coincide with the CAUL meeting in Brisbane in September, 2005. Gaynor Austen provided an update. 26 SCONUL members have expressed interest, which will require consideration of meeting content and logistics, and how members will interact. They are keen to receive input on the program highlights from hosts, unchanged since the last agenda circulated by Diane Costello. Members should send a draft program to Diane Costello who will coordinate a response to SCONUL. The group may be split for various parts of the program. **(Action: DC)**
- d) **\*International Relations, Relations with Organisations in International Education, Study Tours.** Diane Costello reported on the three areas covered at the meeting – CAUL tours overseas, incoming tours of CAUL sites, hosting of international library staff, with the bulk of discussion focusing on the first of these. Notes of the meeting will be published at <http://www.caul.edu.au/meetings/international2005.doc>
- It was agreed to draft guidelines for outgoing CAUL tours, to draw on previous experience and simplify planning. **(Action: DC)** It was suggested that this be included as a hot topic for the next CAUL meeting. **(Action: DC)**
- Cathrine Harboe-Ree reported on the tour of China in October 2004, organised for CAUL by John Shipp. She highlighted the impressive advances made by Chinese libraries in digitisation programs and provision of electronic resources. She also recommended that research skills development and information literacy be highlighted as a marketing device in academic programs with the academic community.
- e) **CAUDIT.**
- i) **CAUDIT PKI Project Steering Committee.** A report from Maxine Brodie was circulated with the agenda. This item was not discussed.
- f) **QULOC.** A report from Heather Gordon was circulated with the agenda. This item was not discussed.
- 668. Forthcoming Meetings**
- a) **\*EDUCAUSE Australasia.** Auckland, 5-8 April 2005. Janet Copsey reported that registrations had reached over 500 and excellent support had been received from the vendor community.
- b) **CONZUL.** Palmerston North, 21-22 July 2005
- c) **IFLA.** Oslo, Norway, 14-19 August 2005

- d) **CAUL Meeting 2005/2.** Griffith University, Brisbane, September 15-16. Janice Rickards
- e) **ETD2005.** University of New South Wales, Sydney, September 27-30.
- f) **CONZUL.** Wellington, 17-18 November 2005.
- g) **CAUL Meeting 2006/1.** Canberra.
- h) **CAUL Meeting 2006/2.** Perth, in conjunction with ALIA 2006. Imogen Garner
- i) **Future joint CAUL/CONZUL meeting.**

### Administration

- 669. CONZUL Administration Fund.** A report from Gail Pattie was circulated with the agenda. This item was not discussed.
- 670. CAUL Finances.** A report from Diane Costello was circulated with the agenda. This item was not discussed.
- a) **CAUL Budget 2004.** A report was circulated with the agenda. This item was not discussed.
  - b) **CAUL Budget 2005.** A report was circulated with the agenda. This item was not discussed.
- 671. \*CAUL Executive Officer's Report.** Eve Woodberry referred to the forthcoming 10<sup>th</sup> anniversary of the CAUL office, noting the significant contribution to the running of meetings and the general activities of CAUL in that time. She will formally thank ANU for hosting the office. **(Action: EW)** A press release will be posted for InCite, Campus Review, the Australian HES and the Australian Financial Review, etc. **(Action: DC)**

Tony Millett added that CONZUL had received enormous benefit from participating in CAUL and its working groups, and are very grateful to CAUL as a group and the Executive Officer in particular.

### **672. Other business.**

- a) **ACHLIS. Australian Clearinghouse for Library and Information Services.** Helen Livingston reported that the University had been supporting ACHLIS since 1984. Although it received a fair amount of usage via Informit very little is being deposited. It is costing the university about \$12,000 per year to index and maintain, so will not be sustained.
- b) **Digitisation of Australian Newspapers.** Vic Elliott reported on progress with an ARC LIEF grant application, noting that he had received 25 supportive responses so far from CAUL. The National Library has committed \$500,000 and will host the service. The State Libraries will provide the microfilm and have committed to re-microfilming should it be necessary. He asked members to think of suitable researchers able to support the project, preferably from a range of disciplines. A chief investigator is being sought. The target date for completion of the collection of signatures and CVs is April 22, an internal date for ARC applications at ANU.

Eve Woodberry, on behalf of members thanked Rachel O'Shaughnessy and Diane Costello for the organisation of the meeting. Chloe Steer, University of Auckland, was thanked for her work in organising the venues, including the dinner venues.

Gail Pattie added that CONZUL members were always pleased to welcome CAUL members to New Zealand, and looked forward to that continuing.

The meeting concluded at 3.35pm



**CAUL Executive Meeting 2005/3**  
**Brisbane (in association with CCA Joint Executive)**

**6 June, 2005**  
**from 8.30am-12.30pm**

**Minutes**

- 1268. Attendance & Apologies.** Eve Woodberry (President), Jeff Murray, Andrew Wells, Cathrine Harboe-Ree (Deputy President). In attendance: Diane Costello. Apologies: Derek Whitehead
- 1269. Minutes of the CAUL Meeting 2005/1, Auckland, 4 April, 2005.** A rough draft was circulated April 28, and an edited draft on May 31. With some corrections, the minutes were accepted and will be circulated to CAUL and CONZUL. **(Action: DC)**
- a) **International Study Tours.** Diane Costello will compile a checklist of planning items for future study tours. **(Action: DC)**
- 1270. Minutes of the previous Executive Meeting, 2005/2, Auckland, 3 April, 2005.** A rough draft was circulated April 28, and an edited draft on May 31. With some corrections, the minutes were accepted.
- a) **CAUL Office 10<sup>th</sup> Anniversary.** Diane Costello is to prepare a press release and Eve Woodberry is to write to ANU regarding the hosting of the office. **(Action: DC, EW)**
- b) **CAUL Research Levy.** Derek Whitehead will scope a project for the use of data already collected in libraries. **(Action: DW)**
- c) **CHASS Policy Document.** Diane Costello will suggest the addition of generic attributes and Cathrine Harboe-Ree will expand on the issue of Australian publishing. **(Action: DC, CH-R)**
- d) **Jurisdiction of Contracts. (Draft Hague Convention on Exclusive Choice of Courts Agreements)** The draft has been circulated. Eve Woodberry reported that it could be a problem with shrink-wrap licences or with contracts with system vendors and subscription agents. It is being argued that it should only apply to negotiated licences. ALA is currently working on issues relevant to libraries and Eve Woodberry will circulate a recent email to that effect. **(Action: EW)**
- Deakin University maintains a system to track changes to contracts, and should have a record of which vendors are willing to change jurisdiction in contracts.
- e) **Institutional Repositories.** At the Auckland meeting, it was suggested that CAUL might establish a support team which could analyse requirements for institutional repositories, prepare business plans, map workflow changes, plan implementation, etc. This item was discussed under SII funding round below.

**STRATEGIC PLAN**

- 1271. Review of Progress of Strategic Plan (Standing Item).** The action plan was revised following the Auckland meetings. Item 5 was moved to "communication & advocacy".

"To work with the AVCC Information Policy and Strategy Forum to identify issues to be raised in the renegotiation of the AVCC-CAL agreement on the educational statutory licence."

**CONTRIBUTION TO RESEARCH**

- 1272. NCRIS (National Collaborative Research Infrastructure Strategy).** The strategic roadmap was circulated to CAUL. Vic Elliott attended a Canberra session on CAUL's behalf and circulated a report. There will be more detail when the papers are released. Cathrine Harboe-Ree was

nominated as the point person on NCRIS. Documents for comment will be available on the NCRIS web site in July.

**1273. ARIIC (Australian Research Information Infrastructure Committee).** Andrew Wells will attend the next meeting June 22.

- a) **CAUL responsibilities.** Derek Whitehead will seek clarification from ARIIC on the process for carrying forward those action items assigned to CAUL. **(Action: DW)** CEIRC will be asked to coordinate the JSTOR/web of science feedback, evaluating the effectiveness of the funded datasets. **(Action: AW)**
- b) **Systemic Infrastructure Initiative funding.** A meeting of selected applicants will be held in Canberra in the week of June 6 to identify synergies, remove overlap and encourage collaboration. A ministerial announcement is expected in July. It was reported that many excellent bids were received.
- c) **Institutional Repositories.** At the Auckland meeting, it was suggested that CAUL might establish a support team which could analyse requirements, prepare business plans, map workflow changes, plan implementation, etc Cathrine Harboe-Ree, Derek Whitehead, John Shipp and Vic Elliott discussed the options but agreed that their projects were fully stretched currently. They did agree to combine their roadshows, to show what has been learnt during the projects, and to share the experience.

By October, ARROW expects to be able to offer a turnkey system from VTLS. The toolbox will include a range of products such as assessment of what is required, business planning, as well as selection of products and implementation. ARROW is a FEDORA advocate, but APSR uses a number of systems including dSpace and FEDORA. APSR is a group of projects, with different products eg dSpace in a box.

**1274. E-Research Coordination Committee.** Cathrine Harboe-Ree represents CAUL on the committee and stressed its importance to CAUL members.

The chairman, Mike Sargent, states that it should be an agent of change. All funding agencies will be required to comment on how they will adapt to e-research. Change management, capability and information management emerged as the areas of most interest. Cathrine Harboe-Ree challenged the definition of e-research to make it broader than the original grid-based concept, and the definition in the report has been changed to reflect this.

CAUL is best-placed on the committee to pick up on information management. The committee will invite individuals to participate in the reference group, but anyone may join by signing up via the web site. DEST will run public forums in later June and early July, issue a draft interim report in September and the final report in December.

It is an opportunity for CAUL and CAUDIT to work together, with both working at the business end of information management. Cathrine Harboe-Ree will report to CAUL and recommend that CAUL members become involved. **(Action: CH-R)**

The discussion paper has just been released for public consultation to June 30.

[http://www.dest.gov.au/sectors/research\\_sector/policies\\_issues\\_reviews/key\\_issues/e\\_research\\_consult/consultations.htm](http://www.dest.gov.au/sectors/research_sector/policies_issues_reviews/key_issues/e_research_consult/consultations.htm)

**1275. ADT (Australian Digital Theses) Program.**

- a) **Business Plan.** Andrew Wells reported no further progress, but expects that it will be ready well before the September meeting. He noted the comments on copyright at the CAUL meeting. The sub-group on mandatory submission is working very well. ARROW is including the ADT's processes for theses submission into its software.
- b) **ADT-ARIIC.** Andrew Wells reported that the metadata repository is completed, and subject to major testing. He is planning a formal launch, possible at the ETD conference, but earlier if it is ready. The ProQuest part of the project should wind up by August.
- c) **ETD2005.** Andrew Wells reported that the conference program is now available on the web site. Sponsorship is very strong, including funding from the Soros Foundation, UNESCO and Thomson Scientific. Alex Byrne has applied to AusAID for funds to sponsor delegates from developing countries. The list of speakers is very impressive, and there will be an effort to

make them available for other events. There is an NSCF forum prior to the conference, to include Stevan Harnad.

#### **1276. CEIRC (CAUL Electronic Information Resources Committee).**

- a) **Operational Plan & Budget 2005.** CEIRC recommends that the document on the roles of participants in the CEIRC program, including that of the CAUL Executive Officer, be approved. The executive approved the document.
- b) **National Site Licence Working Group.** Diane Costello reported on progress. She advised that there will be a forum in Canberra on June 8. Cathrine Harboe-Ree reported on a meeting with Jan Fullerton and Senator Kate Lundy covering issues such as a National Site Licence and government publications.

### **CONTRIBUTION TO TEACHING & LEARNING**

#### **MANAGEMENT FOR BEST PRACTICE**

- 1277. Statistics.** The new CONZUL representative on the CAUL Statistics Focus Group is Christine Wilson from the University of Auckland. Derek Whitehead recommended that Maxine Brodie be added to the committee. The Executive approved.

Maxine was nominated by the IRUA Libraries Group to be a member of the CSFG. It was noted that there has not been specific representation from any group before, and that the group is based in Melbourne to reduce costs. Members agreed that the request by the IRUA should be accepted as a nomination on its merits rather than an example of the right of other groups to have someone on the CSFG, and that Maxine would be a valuable addition to the CSFG because of the opportunities for liaison between statistics and standards bodies. It was also agreed that, given the location of the group predominantly in Victoria, CAUL should not fund interstate travel for non-Melbourne members. CAUL never has, other than for the Executive Officer, but agreed to make it explicit, and a condition of appointment - i.e. meetings are in Melbourne, and other members participate by teleconference. In practice, most meetings have been at VALA or Online.

- 1278. Library MIS Workshop.** Derek Whitehead, Jeff Murray, Diane Costello. A half-day meeting attached to CAUL 2006/1, with a draft program for both a half-day session and a full-day session, although members prefer a half-day. **(Action: DC)**

- 1279. CAUL Surveys.** Dalianz is a discussion list for deputies and associates from CAUL institutions. A couple of surveys have been run via the list, and it was questioned whether all surveys should be run via the CAUL list or should Dalianz surveys be run according to CAUL survey guidelines to ensure that the information is available and preserved? Members agreed that surveys should be directed via the CAUL list under CAUL guidelines to avoid duplication, not to discourage initiative, and ensure that the information is recorded centrally.

Some CAUL members have asked for the results of a CAUL survey conducted by Eve Woodberry. It was agreed to include this as a hot topic at the CAUL meeting. **(Action: DC)**

- 1280. Standards.** This is a standing item.

#### **COMMUNICATION & ADVOCACY**

- 1281. Communication.** (Standing item)

- a) **President's Report.** Eve Woodberry attended the Columbia University copyright conference and a Management Frontiers Study Tour. The entertainment and publishing industries are taking over manufacturing as the major export industries in the US, the main reason why chapters on intellectual property are always included in US Free Trade Agreements. If the copyright act is changed, it may leave the US open to having to renegotiate the FTAs.

Margot Bell, DEST, has asked for feedback on the fair dealing paper, and offered to share the DEST work.

- b) **Public Relations/Media Reports.**

- i) **ALIA. inCite.** ALIA has suggested a regular report from CAUL in inCite, perhaps quarterly, 500-800 words. Andrew Wells is writing an article on Janine Schmidt, Helen Hayes and Sue McKnight. A second could be a report on the ETD conference, the e-research coordinating committee or the SCONUL tour, after the event. **(Action: DC)**

- c) **CAUL Report 2003-2004.** Diane Costello will circulate the draft to members with a view to its completion by September. It was agreed that every report should include an introductory line about each program, to be copied from the previous year if necessary. It will be circulated to other CAUL office-bearers for comment to Diane Costello by July 31. **(Action: DC)**

- d) **Executive Officer's Report.** A report from Diane Costello is appended to the minutes.

**1282. Copyright.** Eve Woodberry reported. The AVCC is continuing the Intellectual Property Strategy Forum (IPSF) to be its reference group. Eve is a member of the IPSF and the ALIA Copyright and Information Policy Committee. Derek Whitehead recently attended an ADA forum on fair dealing. The documents were circulated to CAUL last week.

**1283. Submissions to Public Inquiries.**

- a) **Research Quality Framework.** A Research Quality Framework: Assessing the quality and impact of research in Australia: Issues Paper. March 2005 Submissions due May 2. The AVCC response was circulated May 23. Cathrine Harboe-Ree to send copy to the CAUL office for publication on the web site. **(Action: CH-R)**
- b) **A National Quality Strategy for Australian Transnational Education and Training.** Submissions due May 27. Media release by the Minister for Education, Science and Training, the Hon Dr Brendan Nelson MP 8 April 2005 – there were no comments received from members, so no submission has been made.
- c) **Systemic Infrastructure Initiative.** Australian Research Information Framework Improving the Overall Access to Research Information. Call for Proposals – Information for Prospective Applicants. Proposals were to be received by the Department by COB Friday 20 May 2005, and are now under review.
- d) **Fair Use and Other Copyright Exceptions** An examination of fair use, fair dealing and other exceptions in the Digital Age Submissions should be made by 1 July 2005. Eve Woodberry is preparing the response. **(Action: EW)**
- e) **Science, Engineering and Technology Skills Audit.** The audit will focus on the current and future supply of and demand for graduates from the higher education and vocational, education and training (VET) sectors and determine the extent to which Australia's industry research needs are being met. Written submissions to the audit closed on 31 May 2005. Jeff Murray prepared the CAUL response.
- f) **Copyright Law Review Committee. Crown Copyright.** The report was released in April, 2005.

**1284. Relationships with other organisations.**

- a) **CAUDIT & ACODE.**
  - i) **Joint CCA Executive Committee.** The first meeting will be held June 6 in Brisbane, the second November 16 in Melbourne. A final agenda for the former was circulated May 30. Cathrine Harboe-Ree will add e-research to the agenda.
  - ii) **EDUCAUSE.** CAUDIT has issued a call for proposals to host EDUCAUSE Australasia 2007.
- b) **CONZUL.** It was noted that Sue Pharo had been appointed to the University of Otago. Eve Woodberry will write a letter of congratulations from CAUL. **(Action: EW)** Andrew Wells may attend CONZUL on July 21 to discuss ADT.
- c) **ALIA.**
  - i) **Education Reference Group - Review of Education Policy Statements.** Andrew Wells represented CAUL at the meeting in Sydney on April 11. He will make some recommendations to CAUL for dealing with the issue. **(Action: AW)**
- d) **National Library of Australia.**
  - i) **Libraries Australia (Kinetica) pricing model.** It has been reported that the model being used is not as transparent as that discussed at the Canberra meeting between CAUL members and NLA personnel. Cathrine Harboe-Ree also discussed with Jan

Fullerton the problems regarding its basis on historical costs rather than a transparent model. Andrew Wells will draft a response to the National Library. **(Action: AW)**

- e) **IFLA.** Membership information was received on May 19, including a voting card and details of appointing a proxy for the August meeting in Norway. Graham Black raised the issue of a review of membership of external organisations. External memberships will be discussed at the next meeting of the Executive. A list of all external memberships will be included. **(Action: DC)** A letter was received re the IFLA Relief and Development Partnership.

#### 1285. CAUL Meetings.

- a) **CAUL Meeting 2005/2.** Brisbane, 15-16 September, 2005.
- i) **Hot Topics.** A full day on Thursday. Members will be asked to suggest additional topics. **(Action: EW)** A number of suggestions have arisen:
- (1) **Staff development.** John Arfield will be invited to discuss the WAGUL project on secondments and staff-sharing, and Andrew Wells on Aurora. LATN has done a report on succession planning. **(Action: AW)**
  - (2) **Outgoing CAUL study tours.** Study tour reports – China, USA **(Action: CH-R, EW)**
  - (3) **Library Collection Evaluation.** Evaluation of collections to support research; fitness of the university to move to a different level of research. **(Action: CH-R)**
  - (4) **Bibliometrics.** **(Action: CH-R)**
  - (5) **FRODO progress reports.**
  - (6) **Projects funded under the SII 2005 round.**
  - (7) **Survey on the use of licensed material.** **(Action: EW)**
- ii) **SCONUL presentations.** Friday first session.
- iii) **Business meeting.** Following SCONUL session.
- b) **CAUL Meeting 2006/1.** Canberra, 6-7 April 2006, with committee meetings on the 5<sup>th</sup>.
- i) **Review of CAUL Strategic Plan.** Suggested items to be addressed: culture change within the academic community, particularly with respect to institutional repositories. Cathrine Harboe-Ree will lead the review on research.
- ii) **Seminar on Management Information.**
- c) **CAUL Meeting 2006/2.** Perth, September, 2006 (in association with the ALIA biennial conference)

**1286. Forthcoming Executive Meetings.** Cathrine is away the last two weeks in July. Eve away 10-28 August, Derek away 28 May to 10 July, Andrew Wells away 12 December onwards. Jeff away 11-15 July, most of January.

- a) **2005/4 August 3 (previously planned for the 5<sup>th</sup>) Sydney** with dinner on the 2<sup>nd</sup>, to include the agenda for the September meeting. Andrew will book dinner at Bill's.
- b) **2005/5 September 14 Brisbane** (in conjunction with the CAUL meeting)
- c) **2005/6 November 16 Melbourne** (in conjunction with the CCA meeting)
- d) **2006 April 5, Canberra** (in conjunction with the CAUL meeting)
- e) **2006 September, Perth** (in conjunction with the CAUL meeting)

#### CAUL ADMINISTRATION

##### 1287. CAUL Finances.

- a) **Audit of 2004 Accounts.** The audit is not yet complete.
- b) **CAUL Budget 2005.** A progress report was prepared.
- c) **CAUL budget 2006.** Diane Costello foreshadowed an increase in the CEIRC budget to take into account the 88% of Rachelle Morgan's time devoted to CEIRC-related activity. A job

evaluation is being undertaken to determine if the position should be upgraded from HEW 4. The budget will also include a liability for long service leave for Diane Costello. **(Action: DC)**

- d) Risk assessment for CAUL.** Members discussed at the last meeting whether a formal risk assessment of CAUL should be conducted, and its relationship to whether or not CAUL is incorporated. CAUL currently trades as an unincorporated association. Should the exposure of ANU, CAUL members, the Executive and the Executive Officer be reviewed with respect to money, legal issues and personnel. A risk assessment of CEIRC is being undertaken as part of its operational plan.

It was agreed to look at various templates eg a UNSW checklist, a Monash template for evaluation of business proposals, etc. **(Action: AW, CH-R, DC)** Cathrine Harboe-Ree provided a copy of Monash's risk assessment. Some work needs to be done to assess whether CAUL is exposed to risk by some organisations. Further work will be done at the next meeting. **(Action: CAUL Executive)** It is likely that CAUL is not very exposed, but this should be verified.

#### 1288. Other business.

- a) Go8 meetings with subscription agents.** The Go8 invited DA, Swets and EBSCO to meet with them, addressing a discussion paper prepared by Jill Wilson and Jocelyn Priddey. If a path forward is negotiated, any results would be rolled out to CAUL, but at this stage there is nothing firm to report. The Go8 has mapped out terms of agreement which could be appended to a normal contract, and will circulate to CAUL when completed. **(Action: CH-R)**
- b) CAUL web site.** Andrew Wells has received feedback that the site is rather plain. Members reiterated that the content is good and not difficult to find, and it is not designed as a publicity tool but rather as an information service. It was noted that content management software that is available is designed for larger sites. It was recommended that the current search facility be replaced by Google search as per the ECU home page. **(Action: DC)**
- c) CAUL Industry Think Tank.** The last Think Tank was held in mid-2002. Andrew Wells reported on a discussion at the Go8 meeting with subscription agents, regarding discovery side rather than content side, services that help users to locate resources – Scopus, SFX, Google, etc and whether A&I services will disappear, or whether Google will be sustainable. Monash is looking at "wither/whither the catalogue." Andrew will discuss with Craig Anderson and Cathrine Harboe-Ree. **(Action: AW)**
- d) CAUL President.** Madeleine McPherson has confirmed that she is unable to retake the reins as President. It was noted that three positions will be up for election, President (2 years, vice Madeleine McPherson), Deputy President (1 year, vice Eve Woodberry), one member (2 years, vice Cathrine Harboe-Ree) **(Action: DC)**



### CAUL Executive Meeting 2005/4

3 August 2005

University of New South Wales  
from 9.30 am

**DRAFT Minutes**  
(updated 25/8/05)

- 1289. Attendance & Apologies.** Eve Woodberry (President) , Andrew Wells, Derek Whitehead, Jeff Murray.  
In attendance: Diane Costello. Apologies: Cathrine Harboe-Ree (Deputy President)
- 1290. Minutes of the CAUL Meeting 2005/1, Auckland, 4 April, 2005.**
- a) **International Study Tours.** Diane Costello will compile a checklist of planning items for future study tours. It will be circulated to recently travelled members. **(Action: DC)**
- 1291. Minutes of the previous Executive Meetings, 2005/2, Auckland, 3 April, 2005, and 2005/3 Brisbane, 6<sup>th</sup> June.** The minutes were accepted.
- a) **CAUL Office 10<sup>th</sup> Anniversary.** Diane Costello is to prepare a press release, including reference to CAUL's 40<sup>th</sup> anniversary, and Eve Woodberry is to write to ANU regarding the hosting of the office. **(Action: DC, EW)**
- b) **CAUL Research Levy.** Derek Whitehead will scope a project for the use of data already collected in libraries. **(Action: DW)**
- c) **Kinetica.** Andrew Wells will write to the National Library regarding the pricing models so far implemented. He will circulate the draft to John Arfield and Linda Luther before sending. **(Action: AW)**
- 1292. CAUL Committees – Elections.** The following committees are due for elections in 2005.
- a) **CAUL Executive.** President (2006-7), Deputy President (2006), Committee member (2006-2007) vice Cathrine Harboe-Ree. The elections will be held serially, and nominations will be called for President immediately. The term of the Deputy President will be 1 year in this instance. **(Action: DC)**
- b) **CEIRC Committee.** Member vice Gulcin Cribb (2006-7), Datasets Coordinator vice David Groenewegen (2006-7), Executive Committee representative.
- c) **ULA Working Group.** Chair – vice Alison Ransome. It was agreed to call for expressions of interest. **(Action: DC)**
- d) **ADT Policy Reference Group.** CAUL member – vice Alex Byrne, current chair, selected from the two CAUL members on the committee. The other member is Janice Rickards. Alex Byrne plans to step down as chair at the end of September, and there will be calls for expressions of interest.  
  
CAUL needs to approve the ongoing management of the program. Andrew Wells will circulate the draft business plan to members well in advance of the CAUL meeting. **(Action: AW)**
- e) **Information Literacy Working Group.** Ruth Quinn, chair. It was agreed to ask Ruth Quinn to carry on for another year, and to review the terms of reference of the committee for CAUL 2006/2. **(Action: DC)**
- f) **Other committees for which there is not a membership cycle.**
- i) **Best Practice Working Group.** Chair, Felicity McGregor. It was agreed to ask Felicity McGregor if she will continue in the role. **(Action: DC)**
- ii) **Statistics Focus Group.** Chair, Derek Whitehead. Derek Whitehead has agreed to continue for another year.

**STRATEGIC PLAN**

**1293. Review of Progress of Strategic Plan (Standing Item).** One of the CAUL actions for 2005:

10. Draft a framework under which digitisation projects can be identified and supported. (Action: CAUL Executive to establish a working group)

The University of Sydney, almost everyone is doing some digitisation for e-reserve and special collections. ANU is involved in a newspaper digitisation project. It was agreed to call for expressions of interest in someone to scope the work and convene a working group. It is recognised that the National and state libraries are key drivers in this area, and suggested that CAUL works with them to take advantage of their experience. **(Action: DC)**

**CONTRIBUTION TO RESEARCH**

**1294. ARIIC (Australian Research Information Infrastructure Committee).** Derek Whitehead reported that the June 22 meeting was postponed to late July, then mid-late-August. CAUL has been invited to nominate a representative for the next two years. It was agreed that Derek Whitehead would continue to represent CAUL. **(Action: DC)**

- a) **CAUL responsibilities.** Derek Whitehead will seek clarification from ARIIC on how responsibilities assigned to CAUL are intended to be actioned eg formally from ARIIC, through the ARIIC representative, etc. **(Action: DW)** CEIRC was asked to coordinate the JSTOR/Web Of Science feedback. It plans to invite JSTOR and Thomson Scientific to either conduct surveys on CEIRC's behalf or to provide a framework for conducting surveys in-house. **(Action: DC)**
- b) **March Meeting of ARIIC.** Professor Turner undertook to draft guidelines for potential digitisation projects. The guidelines would include requirements to demonstrate the benefits of the projects to research and the inclusion of details on how access to the data will be sustained into the future.
- c) **ARIIC Projects.** It was noted that an APSR roadshow has been organised. It was suggested that CAUL needs an umbrella approach so that people can share implementation experience. It was suggested that CAUL make an approach to ARIIC to coordinate collaborative action and implementation and to survey university needs. It was noted that Neil McLean made a similar proposal in the last year. Derek Whitehead will review that proposal and draft a proposal to CAUL. **(Action: DW)** Members are variously using eprints.org, dSpace, FEDORA, and some locally developed software. Standards and interoperability are necessary to allow these to work together. This should be discussed at the September meeting, perhaps with the participation of Evan Arthur. **(Action: DC)**

**1295. E-Research Coordination Committee.** Andrew Wells reported. UNSW Ethics Committee has mandated that all data be kept for seven years. Social sciences data is most contentious. Research practice is still changing and all players need to understand the new roles.

**1296. ADT (Australian Digital Theses) Program.**

- a) **Business Plan.** Draft 3 of the 2006-9 business plan was circulated 29<sup>th</sup> July. Andrew Wells reported that Tony Cargnelutti attended the last CONZUL meeting. CONZUL is very supportive and keen to broaden the program. It was recommended reviewing the roles on the committee, with particular respect to the national libraries, and the need for two New Zealand academic representatives. **(Action: AW)**
- b) **ADT-ARIIC.** Andrew Wells reported that the project is all but complete. The ProQuest project has gone very well and will be finished by the end of September. It will retrospectively convert about 400 theses and offer an alternative option for repositories.
- c) **ETD2005.** Andrew Wells reported that the conference had reached 50% of the target registrations, and \$60,000 in sponsorship. In addition, the Soros Foundation is sponsoring three delegates from Africa. The program will include a showcase of current repository software. The program is available on the website.

**1297. CEIRC (CAUL Electronic Information Resources Committee).** Andrew Wells reported. It was confirmed that CONZUL representation would continue to be supported by the CEIRC budget. There will be a half-day session at VALA with invited vendors, following the Datasets Coordinators meeting. A working group is focussing on a program for a possible CAUL-Industry Think Tank in 2006.

- a) **National Licensing Working Group.** A report was circulated to members. It was suggested that CAUL contributes through the offices of CEIRC. The final report will be distributed to CAUL for comment as soon as it released.

**1298. Center for Research Libraries.**

.....the Center's exploration of partnerships with consortia outside of North America. The Center for Research Libraries is a growing consortium of 203 North American research libraries, established in 1949. We are now expanding our program for developing and disseminating electronic scholarly resources. Our broad goal is to maximize the range and diversity of primary sources and other knowledge materials available to scholars for research. We believe that this goal will best be achieved through cooperation among the large academic consortia. Bernie Reilly, President, CRL, 19 July 2005.

Anne Horn is attending IFLA and will meet a CRL representative. Others attending IFLA are Earle Gow, Alex Byrne, Eve Woodberry, Sarah Towle (UNSW) and Gulcin Cribb.

**CONTRIBUTION TO TEACHING & LEARNING****MANAGEMENT FOR BEST PRACTICE****1299. Statistics.** Gaynor Austen has suggested an analysis of CAUL statistics.

*I note in the minutes of the CAUL Executive meeting of 3 April, a mention (item 1256) of a possible seminar on management information. This reminded me .... to query whether there had been any thought given to CAUL engaging someone to prepare an analysis of the AARL statistics similar to that contained in the LISU statistics document which you forwarded to us earlier this year ([www.lboro.ac.uk/departments/dis/lisu/pages/publications/als04.html](http://www.lboro.ac.uk/departments/dis/lisu/pages/publications/als04.html))*

*This is a so much more informative and sophisticated analysis of data and trends than anything we are currently doing, and would, I think, be very well worth a CAUL investment. Has there been any discussion of doing something like this here? (Gaynor Austen 21 June 2005)*

LISU collects statistics for all sectors in the UK. It was agreed that it would be useful. It would need to be scoped, perhaps by the CSFG. **(Action: DW)** It was suggested that LISU be approached. The Executive confirmed that the project should aim for a trend analysis for 5 or 10 years, rather than being an annual exercise.

**1300. Library MIS Workshop.** Derek Whitehead, Jeff Murray, Diane Costello. Jeff Murray will organise a meeting to discuss the program. **(Action: JM)****1301. Document Delivery.** ALIA invited CAUL and its members to contribute to a review of the Interlibrary Resource Sharing Code. Andrew Wells and Liz Curach volunteered to lead the CAUL response and Diane Costello invited them to share the load. The response is due August 31. **(Action: AW)****1302. Standards.** This is a standing item. Delete this from the Executive agenda but leave on the CAUL agenda to stimulate reporting from members. **(Action: DC)****COMMUNICATION & ADVOCACY****1303. Communication.** (Standing item)

- a) **President's Report.** Eve Woodberry wrote letters of congratulations to Dr Alan Bundy and Jan Fullerton on their Queen's Birthday awards, to Sue Pharo on her appointment to the University of Otago and to Dr Lynne Brindley on her permanent appointment to the British Library. CAUL has provided a letter of support to CAUDIT for their middleware proposal to DEST for SII funding. The President spoke on behalf of CAUL at Alison Ransome's farewell function. She will attend an EDUCAUSE meeting 11/12 September to review the Auckland conference.
- b) **Public Relations/Media Reports.**
  - i) **ALIA. inCite.** The next report will be from Andrew Wells on the ADT and EDT, followed by a report on e-research from Cathrine Harboe-Ree. Andrew Wells' report on the export of university librarians was published in July. The SCONUL tour will be added to the list of topics. **(Action: DC)**
  - c) **CAUL Report 2003-2004.** It was agreed to ask USQ if it can be printed again there, using the previous artwork in a different colour. **(Action: DC)**

One of the items of discussion was whether to include programs which were planned but hadn't achieved anything yet. It was agreed to leave them out unless they had already made significant achievements.

The second item was whether to include activities which are essentially administrative - important within CAUL but unlikely to be of interest to the target audience - university administrators, higher education organisations, other library organisations. It was confirmed that the vice-chancellor and senior university staff are the key targets.

The third item was whether to include activities of CAUL members which aren't technically CAUL activities. It was confirmed that any projects which highlighted work that CAUL members were doing collaboratively should be reported.

Some items to be added include: some of the major improvements as a result of Rodski, as per the report from Felicity McGregor; library mentions in AUQA reports; libraries in the AUQA best practice pages; surveys in which CAUL has contributed significant and useful knowledge. Include statistics and benefits of ULA. Add figures to the CEIRC report.

In Communication & Advocacy, include the ALCC for advocacy and lobbying, not legal advice; the IFLA international copyright and other legal matters committee of which Eve Woodberry has been a member since 2004; more about the lobbying surrounding the FTA to show the lobbying effort; the JSCOT submission; Eve Woodberry's membership of ALIA's copyright committee. **(Action: DC)**

- d) Executive Officer's Report.** The report by Diane Costello is appended to these minutes. With respect to the security of online banking, Jeff Murray recommended using spyware detectors, and only ever typing in URLs, not ever using favourites or links or responding to emails.

**1304. Copyright.** Eve Woodberry reported that submissions have closed for the fair dealing review with no feedback received yet. The government has announced that the CLRC has been disbanded. There are still a number of reports and recommendations with action outstanding including 'Crown Copyright' and 'Copyright and Contract'. Eve will be attending the IFLA CLM meetings in Oslo and reporting on developments in Australia. She has also organised a workshop on "Libraries and Free Trade Agreements" as part of the agenda.

**1305. Submissions to Public Inquiries.**

- a) Systemic Infrastructure Initiative.** Australian Research Information Framework Improving the Overall Access to Research Information. Call for Proposals – Information for Prospective Applicants. Proposals were to be received by the Department by COB Friday 20 May 2005, but decisions on successful applications haven't been made.
- b) Fair Use and Other Copyright Exceptions** An examination of fair use, fair dealing and other exceptions in the Digital Age. Eve Woodberry developed CAUL's submission.

**1306. Relationships with other organisations.**

**a) CAUDIT & ACODE.**

- i) CAUDIT meeting 6-8 November, 2005, Canberra.** Jeff Murray and Diane Costello will attend.
- ii) Metadata.** A report from the April Metadata Workshop was circulated 14 June. There are several action items to be addressed. It was suggested this be added to the ARIIC agenda, and that both CAUL and ACODE write to Evan Arthur. **(Action: DW)** It was noted that DEST has signed MoUs with JISC and the New Zealand Department of Education. The action items are:
- (1) **Develop a whole-of-life costing model for digital learning objects and metadata.**
  - (2) **Seek renewed funding for ASIC.**
  - (3) **Develop an Australian higher education metadata framework.**
  - (4) **other?**

- b) CONZUL.** New CONZUL appointments are Teresa Horn at Lincoln University and Sue Pharo at the University of Otago.

**c) National Library of Australia.**

- i) Meeting with the CAUL Executive.** Jan Fullerton has invited the CAUL Executive, or any group of CAUL members, to meet with the National Library for a half-day in Canberra in the last quarter of 2005 to discuss the NLA's strategic directions 2006-8. The next ARROW Management Committee meeting is on September 23 at the NLA, followed by November 18 at Monash. The CAUDIT meeting will be held in Canberra 6-8 November, and it was suggested that the meeting be held on the morning of the 9<sup>th</sup>. **(Action: DC)**

**1307. CAUL Meetings.**

- a) **CAUL Meeting 2005/2.** Brisbane, 15-16 September, 2005.
- i) **Group meetings.** Wednesday 14 September.
  - ii) **Hot Topics.** A full day on Thursday. 9-11 on Friday. Members will be asked to suggest additional topics. **(Action: EW)** A number of suggestions have arisen:
    - (1) **Vice-Chancellor on developments in education in Australia.** The RQF is the most important current issue for CAUL. Ask Janice Rickards to invite the Griffith Vice-Chancellor.
    - (2) **FRODO progress reports.** This will include a demonstration of the ADT repository.
    - (3) **Projects funded under the SII 2005 round.** The new projects will have a very short time-frame.
    - (4) **Government agenda on research infrastructure.** Invite Evan Arthur to give a strategic overview of where the government is heading, as an umbrella for FRODO and the SII. 60 minutes. Note that SCONUL members will be attending. **(Action: DC)**
    - (5) **Staff development.** John Arfield will discuss the WAGUL project on secondments and staff-sharing, and Andrew Wells on Aurora. LATN has done a report on succession planning, and Gaynor Austen has been approached. **(Action: AW)** (60 minutes)
    - (6) **Outgoing CAUL study tours.** Study tour reports – China, USA. Ask Shirley Oakley to arrange a session on the USA tour. Ask Ray Choate to arrange a session for a China report. **(Action: DC)** (60 minutes)
    - (7) **Library Collection Evaluation.** Evaluation of collections to support research; fitness of the university to move to a different level of research. **(Action: CH-R)**
    - (8) **Bibliometrics.** Cathrine Harboe-Ree has attended a DEST meeting with Linda Butler. The RQF report is due in August. **(Action: CH-R)**
    - (9) **Survey on the use of licensed material.** **(Action: EW)** (15 minutes)
    - (10) **Go8 discussions with subscription agents.**
    - (11) **Educational Statutory Licence and CAL's sales of intellectual property through DOIs.** Andrew Wells
    - (12) **Impact of the new music licence.** Derek Whitehead
  - iii) **SCONUL presentations.** Thursday afternoon or Friday first session. Helen Durdell has offered the following:
 

'SCONUL Taskforce on E-learning' (Sue Roberts but someone else will have to present since she will be travelling home); something on current QA procedures ('best practice') Howard Nicholson; the SCONUL experience with LibQUAL+ (me, based on slides from Stephen Town at Cranfield); something from David Perrow on "Oxford University's buildings and digitisation strategy, including our proposals for an 8m volume robotic store, new buildings (social sciences/humanities/New Bodleian refurbishment) and the Google digitisation project." and I will ask Sheila Cannell to do something on the Scottish Declaration on Open Access, and more generally in this area from the UK.

Members expressed interest in e-learning, QA procedures, the Google digitisation project, open access. 2-5pm with a tea break. Lunch from 12.30 or 1.00 to 2pm.
  - iv) **Business meeting.** Friday from 11am. The ADT business plan is a key item. The budget, memberships, CAUL research, committee reports. The meeting will finish by 4pm.
- b) **CAUL Meeting 2006/1.** Canberra, 6-7 April 2006 with committee meetings on the 5<sup>th</sup>.
- i) **Review of CAUL Strategic Plan.** Suggested items to be addressed: culture change within the academic community, particularly with respect to IRs.
- c) **CAUL Meeting 2006/2.** 18-19 September, 2006 in Perth with committee meetings on the Sunday (in association with the ALIA biennial conference). ALIA is 19-22 September 2006.

**1308. Forthcoming Executive Meetings.** Eve is away 10-30 August inclusive.

- a) **2005/5 September 14 Brisbane** (in conjunction with the CAUL meeting)
- b) **2005/6 November 16 Melbourne** (in conjunction with the CCA meeting)
- c) **2006 April 5, Canberra** (in conjunction with the CAUL meeting)
- d) **2006 September 17, Perth** (in conjunction with the CAUL meeting)

#### CAUL ADMINISTRATION

**1309. CAUL Finances.**

- a) **Audit of 2004 Accounts.** The audit is not yet complete.
- b) **CAUL Budget 2005.** A progress report has been prepared. It was recommended that a column for budget –year-to-date be added. **(Action: DC)**
- c) **CAUL Budget 2006.** A skeleton document has been prepared. Members discussed the budget review process – the Executive Officer drafts the budget, the Executive reviews and adjusts it, and presents it to CAUL for ratification or contest. Members will be invited to prepare a case for renewal of memberships: Alex Byrne for IFLA, Eve Woodberry for ALCC, Derek Whitehead for ADA and COUNTER, Andrew Wells for SPARC. **(Action: DC)**
- i) **External Memberships.** External memberships are IFLA, SPARC, COUNTER, ADA, ALCC, to be reviewed. Members reviewed the guidelines approved by CAUL 2004/2.
  1. The CAUL strategic plan should guide the decision.
  2. The benefit must be direct and relate to CAUL's strategic plan.
  3. CAUL should belong to organisations for transactional reasons or direct material benefit, not for affiliate or common goal reasons.
  4. Alliances are important, but if not of direct benefit, CAUL should offer to be an associate or affiliate with respect to communication, exchange of newsletters etc
- d) **Risk assessment for CAUL.** It was agreed to look at various templates eg a UNSW checklist, a Monash template for evaluation of business proposals, etc. Cathrine Harboe-Ree has provided an example of a Monash's risk assessment.

The starting point is the Australian Standard for risk assessment methodology. Using a schema of risk types, determine which elements need to be considered, examine whether liability is limited by incorporation or is it unlimited because CAUL is not incorporated; examine the level of risk, the impact, and mitigating factors. It was agreed to schedule a discussion for the September meeting and invite a risk manager from one of the Brisbane universities. **(Action: DC)**

**1310. Other business.**

- a) **Australian Research Council.** Members discussed whether the change from Board management to executive management is of concern to CAUL.

The meeting concluded at 3.45pm.

### III. MANAGEMENT FOR BEST PRACTICE

#### Action – Ongoing

15. Manage a framework for sharing management and planning information such as reports, instruments, RFIs, position descriptions, buildings, workforce, strategic plans, software specifications, etc (Action: Executive Officer)

#### Action – 2005

16. Develop an interactive site for the collection, analysis and presentation of CAUL statistics. (Action: Statistics Focus Group)
17. Review the CRIG (CAVAL Reference Interest Group) Performance Indicators and develop appropriate measures of the quality of digital reference (information and research) services. (Action: UNISON Reference Group)

### IV. COMMUNICATION & ADVOCACY

#### Action – 2005

18. Contribute to the drafting of amendments to the Copyright Act prompted by the AUS/US Free Trade Agreement. (Action: Eve Woodberry)
19. Work with the AVCC Information Policy and Strategy Forum to identify issues to be raised in the renegotiation of the AVCC-CAL agreement on the educational statutory licence. (Action: Eve Woodberry)
20. Host a study tour by members of SCONUL (Society of College, National and University Librarians (UK)) (Action: ALL)
21. Take up membership of IFLA (the International Federation of Library Associations) in 2005 and review its benefit to CAUL. (Action: CAUL Executive)
22. Publish a report on CAUL activities in 2003-4. (Action: Executive Officer)

#### CAUL Executive Committee for 2005

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#### ACTION PLAN 2005

#### Mission

CAUL is dedicated to improving access by the students and staff of Australian universities to the information resources that are fundamental to the advancement of teaching, learning and research.

In pursuit of this objective CAUL develops a national perspective on issues relevant to university libraries, provides a forum for discussion & collaborative action, and works to promote common interests.

The Council of Australian University Librarians (CAUL) comprises the university librarians or library directors of the universities eligible to be members of the Australian Vice-Chancellors' Committee.

#### Goals

- ❖ optimising student learning outcomes;
- ❖ maximising the potential of libraries to contribute to graduate attributes;
- ❖ maximising the information resources available to researchers, and the facilitation of their access;
- ❖ promoting continuous improvement in university libraries, and
- ❖ advocating effective policies and an appropriate legal and regulatory environment.

(Revision date 15 February 2005,  
amended 6 June 2005)

**I. CONTRIBUTION TO TEACHING & LEARNING**

Goal: To Optimise Learning Outcomes and Maximise the Potential of Libraries to Contribute to Graduate Attributes.

Rationale

In numerical terms, students are by far the heaviest users of libraries, and support for teaching and learning is a major responsibility. Developments in pedagogy and course design to accommodate a changing student population are being facilitated by technology. Libraries are no longer seen primarily as a place, but as a service which should be available to students whenever and wherever needed. The increased complexity of the information environment and emphasis on lifelong learning has developed an appreciation of the value of library information literacy programs. The emerging nexus between research and teaching will mean undergraduates will become exposed to research information and methods.

Action – Ongoing

1. Continue to refine and clarify protocols for the streamlined operation of University Library Australia – the national borrowing program. (Action: ULA Working Group)
2. Promote the development of standards, protocols and systems that will ensure a responsive and robust information environment to support flexible learning (Action: CAUL representatives on Standards Australia IT/19, Information Literacy Working Group)

Action – 2005

3. Respond to proposed changes in the government's teaching & learning agenda, especially with regard to the Teaching and Learning Performance Fund. (Action: CAUL Executive)

4. Undertake research and evaluation in information literacy as a graduate attribute through:

- Development of an information literacy assessment instrument
- Development of evaluation measures which enable evaluation of library information literacy programs against university statements on graduate attributes
- Working with ANZIL and university staff to design research projects that will contribute to the development of best practice guidelines
- Investigating the feasibility of deploying generic information literacy modules through collaborative effort

(Action: Information Literacy Working Group)

**II. CONTRIBUTION TO RESEARCH**

Goal: To Maximise the Information Resources Available to Researchers and to Facilitate Their Access.

Rationale

In recent years CAUL member libraries, like their international counterparts, have found it increasingly difficult to meet their responsibilities to researchers. The reasons are global and several, but are chiefly related to the increasing volume and cost of academic publications. Collaboration is as valuable in supporting the provision of information as it is in research itself, and can contribute to national competitiveness.

It is recognised that the stated objectives will also contribute significantly to teaching & learning. Promoting Australian research to the world is considered along with the universities' access to global research.

Action – Ongoing

5. Continue the development of the Australian Digital Theses Program. (Action: ADT Policy Reference Group)
6. Improve opportunities for cost-efficient purchase and licensing of electronic information resources. (Action: CEIRC (CAUL Electronic Information Resources Committee))

Action – 2005

7. Upgrade the ADT metadata repository to improve its functionality, make it OAI-compliant and expand its content to include metadata for non-digital theses. (Action: ADT-ARIIC Project Team)
8. Expand the ADT program to include members from New Zealand. (Action: ADT Policy Reference Group)
9. Host the international ETD2005 (electronic theses & dissertations) conference. (Action: UNSW Library)
10. Contribute to the development and promotion of institutional digital assets repositories initiatives, particularly through the FRODO projects: APSR (Australian Partnerships for Sustainable Repositories), ARROW (Australian Research Repositories Online to the World) and the ADT (Australian Digital Theses) redevelopment project. (Action: ALL members)
11. Draft a framework under which digitisation projects can be identified and supported. (Action: CAUL Executive to establish a working group)
12. Contribute to the Australian Research Information Infrastructure Committee. (Action: Derek Whitehead)
13. Contribute to the development of the National Collaborative Research Infrastructure Strategy. (Action: CAUL Executive)
14. Contribute to the development of the e-Research Coordinating Committee. (Action: Cathrine Harboe-Ree)

## **AUSTRALIAN RESEARCH ONLINE A CAUL Forum on Research Repositories**

### **Scope and purposes**

The purpose of the forum is to provide a time and place for discussion of repositories of research materials, and for sharing major Australian library and other experiences with them. The reason for doing this now is that many – perhaps most – Australian universities have established repositories, or are thinking about it. There was widespread interest at the last CAUL meeting in further opportunities to discuss the whys and wherefores of repositories, and the forum is intended to address this.

More specifically, the Forum is to consider some or all of these issues:

- The roles of research repositories in Australian universities.
- Working with senior university members, faculty and researchers to make research repositories a success – institutional engagement, workflow issues, process re-engineering, researcher efficiency and promotion of institutions, faculties and individuals.
- The Australian RQF and the contribution of repositories to the assessment of research quality and impact
- University policies and repositories – mandating and use.
- Copyright and other legal issues
- Repositories for other research institutions.
- Collaboration between Australian institutional research repositories

It is not intended that the forum focus on software options or issues; ARIIC is organising another forum in February 2006 for that purpose. Nor is it intended to focus on repositories created for other purposes (learning objects, for example). The forum will be about research, and about client purposes, outcomes and value.

### **Attendance**

This is a CAUL function, and its focus is library managers, institutional repository managers and other staff involved in them, and other people involved in the management of research information.

### **Outcomes**

- Share information between institutions and with others.
- Provide input to the Research Quality Framework.
- Assist attendees to build on the experience of others and minimise cost and complexity in developing a business case, planning and implementing their own research repositories.
- Encourage collaboration between Australian university libraries.

### **Program structure**

One option is the following main repository implementation topics:

1 Introduction

9.00 – 9.30

2	Purposes and benefits	9.30 – 10.30
3	Integration with research operations and the RQF	11.00 – 12.30
4	Copyright and legal issues	1.30 – 2.30
5	Repository policies	2.30 – 3.00
6	Collaborative and central means of facilitating individual repositories	3.30 – 4.30

Within each topic, one or two people with experience on the topic would speak very briefly, and there would be a focus on discussion, participation and capturing lessons from the sessions.

The content will draw on the experience of the APSR and ARROW projects and their members, and on other Australian research repositories which are already under way, such as those at QUT, Curtin, USQ and Melbourne. The program is currently being developed in more detail by Derek Whitehead, Cathrine Harboe-Ree and John Shipp.

## Scheduling

Proposed date: Monday 28 November

Proposed location: Melbourne, city location.

## Further information

Contact Derek Whitehead at Swinburne University Library (e-mail: [dwhitehead@swin.edu.au](mailto:dwhitehead@swin.edu.au), fax: (03) 9818 3651, phone: (03) 9214 8333).

2 September, 2005

## 2005 Call for Proposals

### Result of the recent Call for Proposals for funding from the Strategic Infrastructure Initiative Information Infrastructure for Australian Higher Education

#### Background

Under *Backing Australia's Ability – An Innovation Action Plan for the Future 2001 (BAA)*, the Systemic Infrastructure Initiative (SII) will provide \$246m over 5 years to upgrade research infrastructure at Australian universities. The SII is funding projects which will help promote Australian research output and build Australian research information infrastructure through the development of distributed digital repositories and common technical services that manage access and authorisation.

Appointed by the Minister for Education, Science and Training, Hon Dr Brendan Nelson MP, the Australian Research Information Infrastructure Committee (ARIIC) has been specifically tasked with advising the Government on the best ways:

- *to improve the access of Australian researchers to the information they need to carry out their research*
- *to make the results of Australian research widely available and easily accessible.*

To that end, in 2003 the SII funded four projects known collectively as the FRODO Projects:

- *Meta Access Management System Project (MAMS) Lead Institution - Macquarie University* <http://www.melcoe.mq.edu.au/projects/MAMS/>
- *The Australian Research Repositories Online to the World (ARROW) Lead Institution - Monash University* <http://arrow.edu.au/>
- *Australian Digital Theses Program Expansion (ADT) Lead Institution - University of New South Wales* <http://adt.caul.edu.au/adtariic.html>
- *Australian Partnership for Sustainable Repositories (APSR) Lead Institution - Australian National University* <http://www.apsr.edu.au>

In May 2005, the Department of Education, Science and Training (DEST), called for proposals on behalf of ARIIC to further the discovery, creation, management and dissemination of Australian e-research information in an integrated digital environment. The call sought proposals which provided national, sustainable, innovative and flexible solutions to one or more of the following:

- *Maximising access to digital resources in Australian universities, especially regional universities*
- *Creating new types of digital libraries to manage extremely large data sets.*
- *Adopting a national approach to improving open access to the results of publicly funded research*
- *Providing effective linkages between sets of research information to enable seamless access by researchers.*

As a result of the call, 20 proposals were received involving most Australian universities, with Australian libraries, industry and international organisations as partners. The number of proposals received by state was:

- *Western Australia – 1*
- *New South Wales – 7*
- *Victoria – 5*
- *Queensland – 6*
- *Tasmania – 1*

The total funding requested was \$35 million.

DEST, on the advice of ARIIC, assessed the proposals in terms of the selection criteria and available funds, and made recommendations to the Minister for Education, Science and Training based on these assessments.

#### Summary Outcomes

On 22 August 2005, the Hon Dr Brendan Nelson MP, Minister for Education, Science and Training, announced funding for nine projects involving over 30 Australian universities. Many of the funded

projects comply with more than one of the areas identified and support many of the themes and problems that are emerging through the consultations for NCRIS and e-Research Committees. The funded projects are known collectively as the Managed Environments for Research Repository Infrastructure (MERRI) Projects. They are broadly grouped as follows:

#### **A. MANAGING AND INTEGRATING LARGE DATA SETS**

##### ***Time Sync: Mapping the Global Financial System***

**Lead Institution- University of New South Wales**

**\$1,583,500**

Time Sync will provide real time solutions for research organisations and provide flow on benefits to financial and business organisations that need to manage and synchronise massive data transfers within secure environments. The project will develop best practice e-Research principles for data security and sustainability of time critical data using data from the Reuters financial databases in the UK, and moving this over the education and research networks to Australia and to the APAC centre at the Australian National University.

Partners: Australian National University, Australian Stock Exchange, Macquarie University, Reuters LLC and National Electricity Market Management Company

##### ***BlueNet: The Australian Marine Science Data Network***

**Lead Institution - University of Tasmania**

**\$3,548,000**

The BlueNet project will provide a highly distributed archiving facility to support the long term data curation requirements of Australia's marine science researchers. It will link vast data repositories and marine resources that currently reside in individual academic institutions with government institutions in Australian and overseas. Presently three quarters of the Australia's marine science data is contained in individual universities and not accessible to the wider researcher community. BlueNet will build infrastructure to enable the discovery, access and online integration of multi-disciplinary marine science data on a very large scale to support current and future marine science and climate change research, ecosystem management and government decision making.

Partners: University of Sydney, University of Melbourne, University of Queensland, University of Western Australia, Flinders University, University of Adelaide, James Cook University, Australian Partnership for Advanced Computing.

##### ***Molecular Medicine Informatics Model: A Multi-Institutional, Multi-disciplinary Research and Training Platform for Clinical Research (MMIM)***

**Lead Institution – University of Melbourne**

**\$4,370,669**

Through the MIMM project, medical researchers will be able to link and map records, tissue banks, images, clinical data and genetic data across common diseases such as epilepsy, diabetes, colorectal cancer, multiple sclerosis, stroke, Parkinson's Disease, prostate cancer and asthma in ways that were not previously possible. Using a sophisticated technology platform and advanced computing techniques, researchers will have unprecedented tools at their disposal to help identify factors, or combinations of factors, that predict treatment outcomes and identify drug responses.

Partners: Victorian Partnership for Advanced Computing (VPAC), Multiple Hospitals and Medical Institutions affiliated with the Universities of Melbourne, Monash University and the University of Tasmania

#### **B. TECHNICAL DEVELOPMENT AND DEPLOYMENT PROJECTS**

##### ***Australian Service for Knowledge of Open Source Software (ASK-OSS)***

**Lead Institution – Macquarie University**

**\$199,759**

Open source software is now the primary basis for most e-Research analysis and computation. ASK-OSS will provide a national focal point for advice on open source software for research effectiveness as computation and analysis, particularly to support e-research, become more

complex. This is an important systemic issue for Australia and will complement work being undertaken in the UK and elsewhere around the world.

Partners: Oxford University, Open Source Industry Association and Open Source Law

***Middleware Action Plan and Strategy (MAPS)***

**Lead Institution – University of Queensland**

**\$582,910**

This project will identify the software and services (middleware) that are currently being used in Australia to link applications across a range of resources on networks and computer systems in Australian universities. The MAPS project will identify existing areas of activity in the university and research sectors, and use these results to tap into the expertise across the sector to build a strategic plan of activities and projects for an Australian collaborative middleware strategy. This is an important project whose outcomes will enable other projects to leverage off common infrastructure and focus on providing new services that can be shared across the education and research sectors.

Partners: Monash University, Australian National University, Macquarie University, Council of Australian Directors of Information Technology (CAUDIT), Council of Australian University Librarians (CAUL), AARNet Pty Ltd and GrangeNet

***Legal Protocols for Copyright Management: Facilitating Open Access to Research at the National and International Levels***

**Lead Institution – Queensland University of Technology**

**\$1,330,000**

This project will develop a set of legal protocols and generic licences that can be used across universities to facilitate and break down barriers to open access to copyright material. The Legal Protocols project will also develop best practice guides for managing copyright issues in open access environments – such as, where further commercial publication is expected – and a Rights Expression Language that can be used to technologically enhance open access to existing and proposed electronic stores of research and other data.

Partners: National ICT Australia (NCITA), Australian National University, University of New England, University of New South Wales, University of Wollongong, Charles Darwin University, University of Melbourne, ODRL Initiative, Earlham College and Stanford University, Creative Commons

**C. TECHNICAL INTEROPERABILITY AND ACCESSIBILITY PROJECTS**

***Dataset Acquisition, Accessibility and Annotation e-Research Technology Project (DART)***

**Lead Institution – Monash University**

**\$3,237,000**

The DART project is a significant and strategically important project of interest to many institutions who are taking up the challenge of e-Research. This project will provide solutions to deal with the life cycle of research – from lab book to formal outputs to teaching. In doing so it will draw on differing needs and discipline perspectives of a range of research communities by pulling together expertise in marine science and sensor grids, expertise in distributed systems, database research and large data set management, and grid computing research.

Partners: James Cook University, CRC for Enterprise Distributed Systems Technology, University of Queensland

***E – Security Framework for Research***

**Lead Institution – University of Queensland**

**\$649,000**

Secure access and the authentication and authorisation of researchers, who access services and infrastructure across global networks, are fundamental building blocks for e-research. This project

seeks to establish an E-Security framework which will integrate different two types of security systems, PKI and Shibboleth, to foster collaboration and enable the secure sharing of resources and research infrastructure within Australia and with international partners. The project will leverage off existing work in both areas, build on the advantages of these different systems and create a platform to enable the secure sharing of resources for and research infrastructure.

Partners: Macquarie University, Council of Australian Directors of Information Technology (CAUDIT), Australian Partnership for Advanced Computing (APAC) and AARNet Pty Ltd

**Regional Universities Building Research Infrastructure Collaboratively (RUBRIC)  
Lead Institution – University of Southern Queensland \$3,872,700**

RUBRIC will develop infrastructure and capability across regional and smaller universities to maximise access to digital research resources. This project wishes to take on the best practice developed from the existing FRODO projects and develop similar institutional repositories in thirteen other universities. RUBRIC will provide a means for these institutions to work in a structured framework using the latest tools, to act collectively and to develop the expertise that will be necessary to respond to emerging needs of the Research Quality and Accessibility Frameworks across universities.

Partners: University of New England, University of the Sunshine Coast, University of Newcastle (for the Intensive Research Universities of Australia), Massey University

The MERRI Projects will help Australian researchers to better manage wide variety of outputs of e-Research such as medical and financial data and store them in reliable repositories. Moreover, it will help to enable researchers to access these rich data sources across institutions, building greater opportunities for collaboration and maximising Australia's research output.

With the cooperation and collaboration of the higher education sector, research information infrastructure can be developed and deployed to improve outcomes for researchers Australia wide. The great advances already achieved by the FRODO projects funded in 2003 and the ongoing interest being shown by the sector as a whole has generated a lot of interest in the research sector both here and abroad and it is anticipated that the MERRI projects will build on this success.

### **Uncompetitive Proposals**

A total of eleven applications did not meet the programme guidelines or were uncompetitive and not selected for funding for one or more of the following reasons.

1. The proposal did not address all the selection criteria:
2. The proposal did not demonstrate a clear relationship with the research directions of the participating institutions and their demonstrated areas of high quality research.
3. The proposal did not adequately demonstrate the need for and relevance of the infrastructure requested, in terms of the strategic and long-term benefits to the Australian higher education sector.
4. The proposal did not fit within the scope of Research Information Infrastructure Framework.
5. The proposal did not identify specific outcomes that would be derived from the funding.
6. The proposal was focused on providing commercial benefit to the institutions involved rather than on providing freely available access to Australia's systemic information infrastructure.
7. The proposal did not demonstrate cost effectiveness or sustainability beyond the life of the project.

**CAUL Strategic Plan  
Report to CAUL**

Author: Andrew Wells

Date: 5 September 2005

Date of previous report: 20 March 2005

<b>Section</b>	II. Contribution to Research
<b>Action</b>	5. Continue the development of the Australian Digital Theses Program
<b>Responsibility</b>	ADT Policy Reference Group
<b>Time-line</b>	Ongoing
<b>Activity since last report</b>	<p><b>ADT-ARIIC: Expansion and Redevelopment Report</b></p> <p>Expanded metadata repository in final testing stages. Software has been upgraded to MetaSuite v 6, featuring improved compliance to OAI protocols. NBD data has been loaded. Manual clean up of data has been required. Aiming to demonstrate beta version at CAUL meeting in Brisbane, September 2005. Service to be available by end of 2005. ADT web site has been totally redeveloped to complement new service.</p> <p>A major project issue has been the future of DSTC following withdrawal of federal government support for this CRC. Contract with DSTC has an escrow arrangement. It is likely DSTC will continue on a commercial basis but this is yet to be confirmed.</p> <p>ProQuest Pilot is in final stages. Led by Mary Anne Kennan. Digital Commons software was fully tested and customised for Australasian environment. Tested scanning and other bureau services. Seven CAUL members participated in this pilot. Approximately 220 theses were retrospectively digitised, with another 120 current theses submitted as part of testing the Commons software</p> <p><b>ETD2005</b></p> <p>Program features major international speakers. Expecting 200 delegates.</p> <p><b>ADT Program</b></p> <p>Business plan revised for presentation at CAUL meeting. Plan expanded to include New Zealand. Tony Cargnelutti presented plan to CONZUL in late July.</p>
<b>Achievements since last report</b>	<p><b>ADT Program Status</b></p> <p>35 CAUL members signed with program</p> <p>4 CONZUL members signed (Canterbury, Otago, Massey &amp; Auckland University of Technology)</p> <p>29 active members</p> <p>4,167 ETDs available 2 September 2005 (3,330 in April 2005)</p>

	<p><b>Awards</b></p> <p>Marian Bate has received an ETD Leadership award for her contribution to the development of the ADT Program. This will be presented during the ETD2005 conference.</p>
<b>Publicity, reports, publications since last report</b>	None
<b>Plan for forthcoming activity</b>	<p>ETD2005</p> <p>Completion of Redevelopment and Expansion Report (planned for December 31)</p> <p>Revised business plan to CAUL and CONZUL in third quarter 2005 proposing an Australasian Digital Theses Program</p>
<b>CAUL budget implications</b>	Contained in business plan revision
<b>Recommendations to CAUL</b>	Endorse Australasian Digital Theses Program Business Plan 2006-2009

## AUSTRALASIAN DIGITAL THESES PROGRAM

### BUSINESS PLAN 2006-2009

#### 1. SUMMARY

This plan sets out the next stages for the development of digital theses programs in Australian and New Zealand universities. The successful financial, administrative and governance arrangements used in the Australian Digital Theses Program are carried through to the Australasian Digital Theses Program.

#### 2. PROGRAM STATUS

##### 2.1 BACKGROUND

The Australian Digital Theses Program was established in 2002 following a successful Australian Research Council funded project which ran from 1998 to 2001. The model of a central metadata repository providing discovery of and access to digital versions of theses residing on distributed servers is proven.

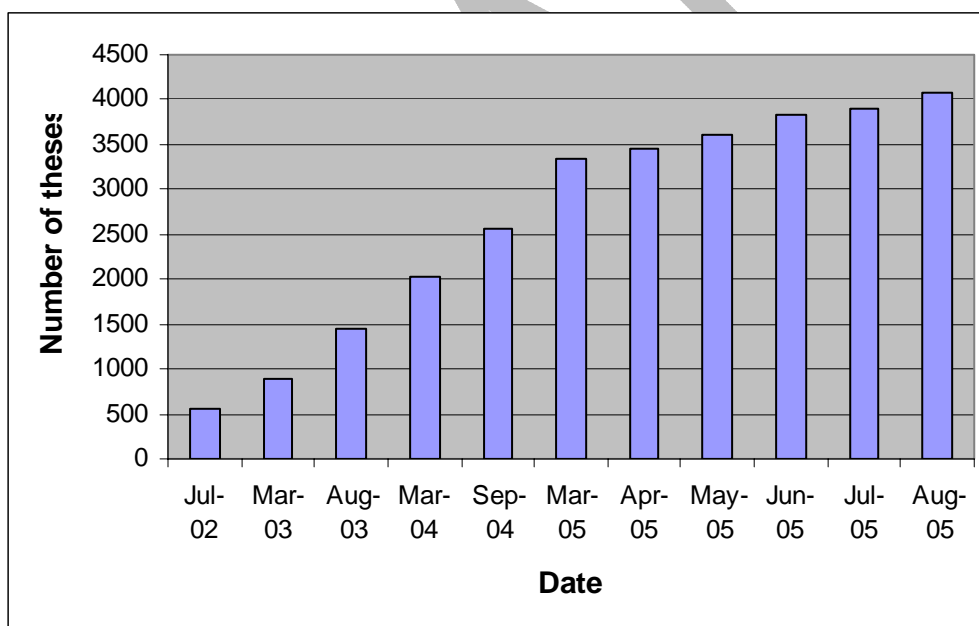
In 2002, the Council of Australian University Librarians (CAUL) accepted a business plan which had the following key features:

- All CAUL members were automatically members of the ADT Program
- Each CAUL member would pay an annual levy to fund operations for members including maintaining the central metadata repository, assistance with set up, advocacy and communication
- A Policy Group overseeing the development of the Program and the work of a Technical Committee
- The appointment of The University of New South Wales Library to act as CAUL's agent in maintaining and development the Program

## 2.2 PROGRAM GROWTH AND DEVELOPMENT

The number of active participants and theses available online has exceeded targets in the 2002-2006 business plan. At the end of 2004, there were 25 active participants, and 2 New Zealand universities announced their intention to join the Program. The growth in theses available online over time is shown in the following table:

Date	Active members	Number of theses
July 2002	12	560
March 2003	16	897
August 2003	22	1458
March 2004	22	2030
September 2004	25	2554
March 2005	27	3,332
April 2005	27	3,444
May 2005	27	3,608
June 2005	27	3,822
July	29	3,896
Aug	29	4,082



At the end of 2004, 10 Australian universities announced policies requiring mandatory submission of digital versions of theses, with an additional 3 planning to introduce in 2005. This will ensure increasing rates of growth.

The ADT Program has undergone significant development in 2004 with support from the Systemic Infrastructure Initiative, part of Backing Australia's Ability. The ADT Program responded to a call for proposals from the Department of Science, Education and Training for projects that demonstrated improvements or research in information infrastructure. The key activity has been the expansion of the coverage ADT's central metadata repository to include

as many records for all PhD and Masters (Research) theses as possible. The functionality of the metadata repository was developed to support the OAI Metadata Harvesting Protocol, information retrieval protocols and improved data quality maintenance. Distributed Systems Technology Centre [DSTC] has been contracted to provide software for the metadata repository.

The ADT Program is a member of the international Networked Digital Library of Theses and Dissertations, with representation on the Board of Directors and several committees. ADT has been represented at every Electronic Theses and Dissertations (ETD) Conference. The achievement of ADT has been internationally recognised and is being seen as a useful model for other countries. In September 2005, CAUL and UNSW Library will host the eighth ETD Conference.

### 3. OPERATING ENVIRONMENT

#### *Environment*

The policy environment for the ADT Program in Australia and, to a lesser extent, in New Zealand is positive. Government and industry frequently express interest in making fundamental research available. The ADT Program has won key sectoral support from academics and postgraduate students.

The key environmental factor influencing the future development and form of the ADT Program is the development of Institutional Repositories (IRs). When ADT began, the only software available was the original Virginia Tech software (a prototype of the later version ETD-db) specifically designed for digital theses. In the last four years, there has been considerable growth in software development for IRs: much of this software can or is being developed to manage digital theses. The ETD-db software is lagging in development and better choices are available to members. The Systemic Infrastructure Initiative has funded ARROW (Australian Research Repositories Online to the World) and APSR (Australian Partnership for Sustainable Repositories). These two projects are deploying DSpace and FEDORA to manage digital theses, in addition to other data types. These and other e-publishing ventures are promoting rapid innovation in repository software.

The ADT is currently working on a pilot project with ProQuest to explore a range of service options for the community which will extend participation models beyond those currently available. The service options being investigated are: a customised version of the Digital Commons submission software for the Australasian environment; testing scanning and hosting services and associated workflows. This pilot is within the Systemic Infrastructure Initiative-funded ADT Expansion and Redevelopment project.

Copyright and intellectual property issues require ongoing discussion and clarification. The ADT Program provides means and advice to address and resolve concerns about these issues. Practical guidelines are in place and are under constant review to address emerging issues including the growing movement towards mandatory submission and those arising in the ADT-ProQuest pilot project.

The success of search engines requires that ADT makes its metadata and content (subject to local restrictions) available to permit the widest possible discovery and access. Taking

advantage of the power and user take-up of services such as Google will enhance the utility as well as the awareness and visibility of the Program.

In New Zealand, the key policy framework is the New Zealand Digital Strategy (<http://www.digitalstrategy.govt.nz/>), which has acknowledged the need for Content as well as Confidence and Connection as an enabler that is integral to a vision of 'NZ Online'. Developing the Content part of the Digital Strategy is the responsibility of the National Library of New Zealand and, to that end, the National Library has been working with CONZUL to investigate an infrastructure suitable for capturing in digital format the research outputs of publicly funded research. The Project Team has consulted closely and has borrowed heavily from work done in this regard in the Australian university sector. The Project Team's report can be found on <http://wiki.tertiary.govt.nz/~InstitutionalRepositories/Main/ReportOfFindings>. Three universities have registered their interest in being demonstrator sites for the next phase of this project. They are Auckland University of Technology, University of Auckland, and Victoria University of Wellington.

The New Zealand universities have, at the same time, been exploring the technical infrastructure and policy change requirements for the deposit of theses in digital format in their institutions. In August 2005 CONZUL agreed that all members would automatically become members of ADT, although some will not be contributing theses for some time to come yet.

A clear direction on choice of software would be appreciated but some will use the ADT software to get started and be prepared to migrate to other software later if and when the demonstrator sites offer greater clarity of choice for the future. Three of the universities have, or intend to require, mandatory deposit. There has been general support from academic staff for the concept of digital deposit of theses and there is certainly support from students for this opportunity.

The New Zealand university libraries are taking a leading role in the development of digital repositories on their campus and acknowledge that the development to date have been encouraged and informed by the work of the ADT Programme.

### *Trends and implications*

Policies mandating deposit of digital versions of theses will promote growth although libraries will need to find efficient workflows to deal with increased throughput. In Australasia, there are some 6,000 higher degree completions each year. There will be many challenges in meeting the processing requirements and efficient workflow.

This development suggests the following parameters for the ADT Program:

- Digital theses will be managed either locally within institutional repository systems, by consortia sharing institutional repository systems or remotely through bureau services.
- Compliance with standard formats will facilitate discovery, accessibility and preservation of digital theses.
- Adherence to the OAI Metadata Harvesting Protocol will be essential for the efficient development and maintenance of ADT's central metadata repository.
- Data exchange and harvesting protocols will be a major technical focus, particularly exchange with national discovery and national bibliographic database services.

- The central metadata repository must feature currency, wide coverage, reliability and high quality data.
- Mandatory submission of digital theses will require sharing of expertise in workflow and policy development.
- Metadata – and, preferably, content – will be made available for discovery by search engines.
- The ADT web site will be a source of information for a global audience.
- The ADT program will maintain international linkages and recognition.
- The program will continue to build on existing partnerships including the sharing of knowledge, experience and expertise.

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#### 4. OPERATION

This plan recommends no major changes to the way the ADT Program operates. The technical model has been demonstrably successful. The governance model has worked for both the ongoing program and the redevelopment project. A period of organisational stability, coupled with growing participation by those CAUL and CONZUL members still not active in the Program, will enable understanding of the consequences of the recent expansion and technical redevelopment for the operation and use of ADT. In parallel with growth, the program continues to develop with the increased adoption of mandatory submission movement and a growing number of options now available to university libraries to manage digital theses.

This version of the plan recommends a 'promotional' budget allocation to help members promote the use of ETDs in their institutions.

The following is proposed for 2006-2009:

##### *Membership*

When members become 'active' they will fill out the Membership Form in Appendix 1

The ADT Program will formally join the NDLTD Program for an annual fee of \$US7,050. The benefits of this membership are:

- Representation in a key international movement to promote digital scholarship
- Access to expertise
- Access to education and research about digital theses
- Demonstration of support to developing countries to develop ETD programs

See: <http://ndltd.org> for further information.

##### *Access*

Access to the ADT metadata repository will be free for any individual or organisation. Access to full text of theses is strongly encouraged. Metadata licensing and re-use policies are set out in Appendix 2.

The metadata repository will support three views: Australasian; Australian; and, New Zealand.

##### *Administration and Reporting*

CAUL will be the organisation which administers the ADT Program for CAUL and CONZUL and will be advised by the ADT Policy Reference Group (with expanded membership from New Zealand). The University of New South Wales Library will continue to manage the program on behalf of CAUL and CONZUL. UNSW Library will report program status and issues to CAUL and CONZUL through the ADT Policy Reference Group.

##### *Service Levels*

UNSW Library agrees to provide service levels to members as set out in Appendix 3.

### *Awards*

The annual ADT awards recognise authors who have created exemplary theses that demonstrate new dimensions of scholarship in the digital environment.

An award of \$1000 and two runner up awards of \$500 each will be provided. The successful authors will be selected from nominations forwarded by institutional coordinators.

### *Meetings*

The ADT Policy Reference Group will meet no less than twice per year.

The ADT Technical Committee will meet no less than twice per year.

### *Governance*

The ADT Program has two Australasian representatives on the NDLT D Board.

A two-tiered structure for the ADT Program will apply

#### **ADT Policy Reference Group**

2 CAUL members (1 as Chair)

1 CONZUL member

1 representative of the Deans and Directors of Graduate Schools

1 representative of the Council of Australian Postgraduate Associations

1 representative of the New Zealand academic or postgraduate community

1 ADT Program Manager (UNSW)

UNSW University Librarian will attend meetings but have no voting rights.

The Committee may invite expert advisors to participate in meetings but without voting rights.

CAUL Executive Officer will provide support.

#### **ADT Technical Committee**

ADT Program Manager (Chair)

ADT Technical Support representative (UNSW)

4 CAUL representatives

2 CONZUL representatives

*Financial Operation*

- Cost of operation

The University of New South Wales Library estimates the following annual infrastructure and membership costs.

Item	Justification	Cost
<b>Staffing</b>		
Program Management	0.2 x HEW 9	20,000.00
Technical management, support and maintenance of Metadata Repository	0.1 x HEW7	7,500.00
System administration and maintenance	0.1 x HEW 7	7,500.00
Web site administration and maintenance	0.05 x HEW 6	3,250.00
<b>Total Staff related Expenses</b>		<b>38,250.00</b>
<b>Support related costs</b>		
Software maintenance	DSTC quote	3,000.00
Hardware costs - annualised over 4 years of business plan	Server cost = \$15,000	3,750.00
Hardware maintenance	est.	500.00
<b>Total Support related costs</b>		<b>7,250.00</b>
<b>Travel and Related costs</b>		
Policy Reference & Technical Groups		5,000.00
NLTLD	USD7,050	9,500.00
NLTLD expenses		5,000.00
<b>Total Travel and Related costs</b>		<b>19,500.00</b>
<b>Awards</b>		<b>2,000</b>
<b>Total Costs</b>		<b>67,000.00</b>

Travel assumptions: Technical Group to meet via email or telephone. Face to face meetings to be held in conjunction with major conferences, eg, Online, VALA. Policy Reference Group will meet face to face no more than twice per year.

- Revenues

Levy to CAUL and CONZUL members would be approximately AUD1,500

- Financial Reporting

UNSW Library will provide reports on costs and revenues to CAUL and CONZUL through the ADT Policy Reference Group

## 5. PROGRAM EVALUATION

Measure	Indicator
<b>Program Growth</b>	
Number of active CAUL Libraries	80% by end 2006 [67% at March 2005]
Number of active CONZUL libraries (i.e. members of ADT but not yet contributing theses)	75% by end 2006 [50% at July 2005]
Number of online theses available	6000 by end 2006
Number of retrospectively converted theses available	[Baseline and estimate to be determined]
<b>Stakeholder relationships</b>	
Strength of relationship with scholarly community	Assessment of relationship 50% of CAUL members have mandatory submission of digital theses by end 2006 [25% at March 2005] 50% of CONZUL members have mandatory submission of digital theses by end 2006 [25% at July 2005]
Search statistics for metadata repository	[To be determined]
<b>Governance and management</b>	
Costs meet budget for centralised operation	Variation no greater than 5%
CAUL and CONZUL satisfied with program management	CAUL and CONZUL responses to ADT reports, proposals and communication

## Appendix 1

Membership form

To be revised in line with change in operation of program

## Appendix 2: Metadata and Copyright

Current policy: to be reviewed

### ADT COPYRIGHT AND METADATA POLICIES

#### 1. Contribution of metadata

ADT members extend to CAUL and CONZUL a non-exclusive, royalty-free licence to:

- a) Access metadata on ADT members' computer systems
- b) Harvest, copy, host and store all or part of the ADT members' metadata in the ADT metadata repository
- c) Convert harvested metadata whenever necessary to meet data format and data content standards used in the ADT metadata repository
- d) Allow free access to the metadata by any users of the World Wide Web for their personal educational and research use

#### 2. Re-use of Metadata

- a) ADT members may use ADT metadata for educational and research purposes the inclusion of metadata in subject listings, catalogues or other discovery tools is in keeping with the purposes of ADT
- b) Commercial re-use of metadata must be approved by CAUL and CONZUL. The ADT web-site will contain information about commercial re-use of metadata

#### 3. Copyright

- a) CAUL and CONZUL will jointly own copyright in the ADT web site

## Appendix 3

Service Level Agreement between CAUL and CONZUL members and UNSW

To be revised in line with change of operation of program

## Appendix 3: Service Level Agreement Between ADT Members And UNSW

## 1. User support

- 1.1 UNSW will provide each new member advice and support during all stages of implementation. -
- 1.2 UNSW will respond to non-urgent requests from members by next business day.  
Urgent requests received [Business Hours, Australian Eastern Standard Time] shall be responded to within 5 hours for problems involving the metadata server. All urgent problems have to be emailed to [adt@unsw.edu.au](mailto:adt@unsw.edu.au)
- 1.3 UNSW staff will travel to member sites at the request of the member. Travel and accommodation costs will be met by the member
- 1.4 Each member will commit to adherence to standards recommended by the Technical Group and endorsed by the Policy Group
- 1.5 Each member will inform UNSW Library ADT support in advance of any changes that may affect harvesting and/or access to the local ADT servers
- 1.6 Each member will promptly advise UNSW of any actions which may affect access to theses contributed by that member

## 2. Metadata repository and web-site

- 2.1 UNSW will maintain the metadata repository to the following standards
  - Backup each working day
  - Harvesting of metadata from member sites each working day
  - Disaster recovery to be consistent with UNSW standards for business continuity
  - Repository to be available on a 24 x 7 basis
  - Scheduled downtime to be advised to members with a minimum of 72 hours notice
  - UNSW Library will check the metadata after each gathering to ensure quality and continuous access. UNSW will notify members if problems detected are at the local site
  - Usage statistics will be produced regularly and be available on the ADT website
- 2.2 UNSW will seek approval for upgrades to hardware and software through the ADT Policy Committee based on the advice of the ADT Technical Committee
- 2.3 UNSW will maintain the ADT Web site, including but not limited to:
  - Current news
  - Discussion list & bulletin board
  - Data relating to technical advice and expertise
  - ADT standards and recommended guidelines for accessibility, copyright and any other information useful to the community
  - Links to international initiatives

### 3. Advocacy

- 3.1 Each member will be responsible for advocacy of digital theses within their own institution
- 3.2 Each member to share information and promotional materials and activities within the ADT community
- 3.3 UNSW will provide support for institutional advocacy through:
- Advice
  - Promotional materials
  - Promotional visits/conferences/seminars/etc

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**CAUL Strategic Plan  
Report to CAUL**

Author: Heather Gordon  
Date: September 7, 2005  
Date of previous report: March 4, 2005

<b>Section</b>	Information Resources
<b>Action</b>	Improve opportunities for cost-efficient purchase and licensing of electronic information resources through the CEIRC (CAUL Electronic Information Resources Committee)
<b>Responsibility</b>	CEIRC
<b>Time-line</b>	Ongoing
<b>Activity since last report</b>	Meetings held on April 20, June 16 and August 31 in Sydney. Approved minutes are available at <a href="http://www.caul.edu.au/meetings/">http://www.caul.edu.au/meetings/</a> and draft minutes are available at <a href="http://www.caul.edu.au/dataset\$/ceirc-meetings.html">http://www.caul.edu.au/dataset\$/ceirc-meetings.html</a>
<b>Achievements since last report</b>	<p><b>CEIRC 2005 Operational Plan</b> Items 2.3 (CEIRC procedures), 2.4 (CEIRC staffing requirements) and 3.4 (future products and services) have been completed. Items 2.5 (DSC induction kit) and 4.3 (CEIRC roles and responsibilities guidelines) are being reformatted for posting on the CAUL website.</p> <p><b>CEIRC Membership</b> The CAUL Executive approved membership for 1 new organisation, Federal Department of Health and Ageing. NOHSC, the National Occupational Health &amp; Safety Commission, also known as Worksafe Australia, has been incorporated into the Federal Department of Workplace Relations. CEIRC has requested that they re-apply for CEIRC participation, to ensure that they still fit within CEIRC guidelines. Two CEIRC participants, NSW Department of Agriculture and NSW Fisheries have merged with other departments to become the NSW Department of Primary Industry. This means two members become one, and there is one fewer CEIRC participant.</p> <p><b>ARIIC Systemic Infrastructure Funds</b> CAUL was informed that DEST was unlikely to allocate ARIIC funding available in 2006 to purchase content. Based on this information, CEIRC did not prepare a grant proposal for Nature Archive and PCI Full-Text to CAUL for submission to ARIIC.</p> <p><b>Product negotiations</b> Wiley - CEIRC met with Wiley representatives on August 30 to commence discussions for a new agreement. Issues raised were price cap, early payment discount of up to 1.5% to balance the price cap, the cost per download and its variation across institutions, multi-year deals and the opt-out options. Wiley agreed to offer individual statistics analyses to each institution on request. Springer - Diane Costello attended the Springer Asia Library Advisory Board meeting in Singapore in March. Issues covered included: pricing models, open access, database and metadata building. Gale- A new regional licence is still with Gale legal advisors. CEIRC has raised again outstanding issues including: walk-in users, use in course-packs, and the amount of text that can be downloaded. Taylor and Francis E-books – At the request of T&amp;F, CEIRC drafted a licence based on the T&amp;F journals licence. T&amp;F accepted the draft with some changes including excluding archival rights. Datasets Coordinators were notified on July 22. ProQuest - The ProQuest 5000 offer for 2006, together with a compilation of all other</p>

products offered to CEIRC by ProQuest, was distributed to members with 30 institutions deciding to renew and 2 deciding to cancel. This has put the group down into a lower price band, from USD 1,778,112 to USD 1,693,440.

Usage data for 2001-2005 has raised questions about the impact of federated searching on usage and costs. CEIRC has requested that a small working group chaired by Martin Borchert review the CAUL pricing model of ProQuest and the effect of federated searching on the statistics and report back before negotiations commence for the 2007 contract renewal.

67 offers and renewals had been processed in the last two months.

For more information see <http://www.caul.edu.au/datasets/offers.htm>

### **Product service issues**

Factiva – CEIRC compiled and communicated to ProQuest a list of technical issues submitted by DSCs about Factiva. ProQuest provided a comprehensive response that has been circulated to the DSCs and requested additional information for 4 outstanding issues. CEIRC has drafted a response to send to Factiva.

ABS AusStats & Census – CEIRC met with Steve Matheson, Assistant Statistician, Information management & Census Division at the June meeting to discuss outstanding issues with historical census data, CDATA 2001, software requirements, AusStats free and walk-in access, cost of ABS consultancy services, and future ABS activity. More information is available from the minutes of 16 June. CEIRC will send a letter to the ABS to follow up on the status of items discussed at the meeting.

Thompson Financial – CEIRC sent a letter in April requesting an amended licence and is still waiting for a response.

### **Open URL Survey**

CEIRC conducted a survey of dataset coordinators to identify database publishers (and in particular Australian publishers) with database services that either do not comply or only partially comply with Open URL Standard (ANSI/NISO Z39.88 - 2004 The OpenURL Framework for Context-Sensitive Services <http://www.niso.org/standards/index.html> )

With more than 50% of CAUL institutions now engaged in providing open URL services, this is an important issue for members. CEIRC agreed and identified approximately 43 Australian publishers and/or services with partial or non-compliance. Letters will be sent to the publishers to explain the issue and to request compliance with the standard.

### **National Licensing Issues Paper 2005**

At the August meeting, CEIRC discussed the issues paper and offers the following comments and observations (under the headings used in the issues paper) to CAUL for further discussion.

#### **Executive Summary**

- Puts forward a public good argument without providing evidence that the public do not have sufficient access to online information.

#### **Background**

- Perhaps the reference group should only address recommendation 9. The identification of content is the first step and evidence of the need for it. This is all that the senate report recommends – the identification.
- If the purpose is extended beyond this as highlighted in the background then the “no disadvantage” rule for CAUL members must be recognised and adhered to.
- Although the background suggests that funding be provided, in reality there is little chance of central funding for content, and possibly not even for administration.

#### **Objectives**

- Credible online information is already available to the public, including government and other health information, so why is a national approach needed? What exactly is the public missing out on?

	<ul style="list-style-type: none"> <li>- Need to recognise that collaboration of libraries must also respect our autonomy</li> <li>- Can it be considered a national licence if an opt in/opt out funding model is used?</li> <li>- Is the real objective to improve the basic level of service through public libraries? If so, why not use the state libraries as a basis to work more with the public libraries.</li> <li>- Why doesn't the schools sector work on behalf of the schools? It was noted that the National Library of New Zealand has a special role in the provision of services to schools.</li> <li>- Can the goal be achieved through a series of state and sector licences rather than a national one?</li> <li>- A national licence is not the only way to address any communication weakness among libraries, vendors and funding authorities</li> </ul> <p>Benefits</p> <ul style="list-style-type: none"> <li>- Assumes that an information architecture is available to deliver content and enable access across all rural, regional and urban areas and to all social groups</li> <li>- Access to information to support business activities raises commercialisation issues with vendors</li> <li>- Doesn't recognise that a lot of high quality resources are already available via the Internet</li> <li>- Federal and State Government departments provide a high range of information services to professionals in their areas.</li> <li>- May be difficult to strengthen and may actually weaken the bargaining power of libraries when negotiating for multiple sites and using an opt in/opt out framework.</li> <li>- Will vendors make a distinction between for-profit and not-for-profit special libraries? Why should vendors be expected to provide non-commercial rates for private organisations?</li> <li>- Doesn't recognise the existing mechanisms which are the subject of significant investment that provide information access to Australians including: NBD, national resource-sharing system (ILL &amp; DD), ADT, Picture Australia, open access initiatives, CAUL licenses that provide for public walk-in access, etc.</li> </ul> <p>Governance Model &amp; Structure</p> <ul style="list-style-type: none"> <li>- Appears to be heavy and expensive</li> <li>- Noted that the EPIC structure costs approximately \$100,000 so is this model really attractive?</li> <li>- Is the Kinetica model of nominees from sector based groups the best model?</li> </ul> <p>Charging/Funding Models</p> <ul style="list-style-type: none"> <li>- 2<sup>nd</sup> dot point on fees seems to contradict 4<sup>th</sup> dot point regarding existing consortia</li> <li>- existing consortia <b>must</b> not be financially disadvantaged</li> <li>- proposed funding models by sector do not compare apples with apples and may not reflect ability to pay and be equitable, eg there are some universities with less EFTSU but larger acquisitions budgets</li> <li>- The self-funding model won't be sustainable if current subscribers were asked to pay more under the national licence.</li> <li>- If there were no significant financial return and benefits why would CAUL offer to manage the licensing and administration?</li> <li>- It was suggested that if the licence didn't cost any more, it wasn't relevant how it was purchased, through CAUL or a national licence.</li> </ul> <p>Content/Product Range</p>
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	<ul style="list-style-type: none"> <li>- All newspapers are selling their content online now – why would they make it available to everyone for a single price?</li> </ul> <p>Administration, Communication and Marketing</p> <ul style="list-style-type: none"> <li>- There is no limit on marketing and communication costs. The cost of general overheads is questioned. If there is a real need, then it shouldn't need to be aggressively and/or expensively marketed.</li> <li>- Need for training and costs to support such activities have not been identified. Training and consciousness-raising were key within the EPIC project.</li> </ul> <p>Other Comments</p> <p>Any benefits or incentives to CAUL?</p> <ul style="list-style-type: none"> <li>- Lower product costs, lower administration fees, students &amp; alumni having ongoing access to select resources, better information literacy skills of new users, reduce pressure from alumni, reduce public walk-in access in university libraries, reduced inter-library lending, etc although the actual value of any of these is questionable.</li> </ul> <p>What can CAUL not support?</p> <ul style="list-style-type: none"> <li>- more complex licences, slower decision-making, more complex administration, higher costs, a less appropriate database composition eg the EPIC business database was adjusted to compensate for for-profit libraries, a national licence system that is unsustainable.</li> </ul> <p>Bottom line, would CAUL support the proposal as long as it doesn't disadvantage CAUL, for whole of system cost?</p>
<b>Publicity, reports, publications since last report</b>	<p>Approved minutes are available at <a href="http://www.caul.edu.au/meetings/">http://www.caul.edu.au/meetings/</a> and draft minutes are available at <a href="http://www.caul.edu.au/dataset\$/ceirc-meetings.html">http://www.caul.edu.au/dataset\$/ceirc-meetings.html</a></p> <p>CEIRC Chair has also emailed reports to CAUL members after each CEIRC meeting.</p> <p>CEIRC Chair emailed CAUL members the URL for the National Licensing Issues Paper.</p> <p>CAUL orders policy and procedures for CEIRC subscriptions was posted at <a href="http://www.caul.edu.au/datasets/ceirc.htm">http://www.caul.edu.au/datasets/ceirc.htm</a> in July.</p> <p>CEIRC licences -model clauses was updated in April 2005. <a href="http://www.caul.edu.au/datasets/">http://www.caul.edu.au/datasets/</a></p> <p>CEIRC Vendor Checklist was updated in August 2005. <a href="http://www.caul.edu.au/datasets/">http://www.caul.edu.au/datasets/</a></p>
<b>Plan for forthcoming activity</b>	<p>Next meeting is in Melbourne on 15 November.</p> <p>Continue to work on items 1.2, 1.3, 2.1 and 4.1 in the operational plan.</p> <p>Prepare draft agenda and outline for the proposed 2006 CAUL-Industry Think Tank.</p> <p>Send letters to select Australian publishers regarding compliance with Open URL standards.</p>
<b>CAUL budget implications</b>	<p>At the August meeting, CEIRC reviewed the proposed 2006 CEIRC budget and recommended that the CEIC levy be increased by 5% as follows: CAUL members from \$1,200 to \$1,260 and External members from \$1,800 to \$1,890. The proposed levy increase reflects the actual workload increase for the CEIRC Assistant to 85%.</p>
<b>Recommendations to CAUL</b>	<ol style="list-style-type: none"> <li>1. That CAUL approves the 5% increase to the CEIRC levy for 2006.</li> <li>2. That CAUL consider the comments made by CEIRC to the proposal by the National Licensing Reference Group and prepare a CAUL response before the second forum on national licences on 12 October 2005.</li> </ol>

Pro-forma updated 7 June, 2005

**MAKING ONLINE INFORMATION FOR ALL AUSTRALIANS A REALITY.****A PROPOSAL BY THE NATIONAL LICENSING REFERENCE GROUP TO ALL AUSTRALIAN LIBRARIES.****ISSUES PAPER****JULY 2005****EXECUTIVE SUMMARY**

With the support of the National Library of Australia a reference group, comprising representatives from many of the country's peak library bodies, has been investigating the feasibility of creating a national, cross-sectoral libraries consortium. The principal goal of the proposed consortium is to negotiate and purchase national licences for certain key online information resources identified as being of central importance to meeting the information needs of Australians. This proposal is in accordance with Recommendation 9 of the Senate's June 2002 report on the Role of libraries in the online environment.

The issues paper considers the objectives and benefits of a national licensing initiative and the associated issues of governance, funding models, the type of resources that have been selected, administration, communication and ways of seeking input from Australian libraries.

The paper argues that the creation of a cross-sectoral libraries consortium to negotiate and purchase national level licences is not only achievable but essential in delivering vital online information to all Australians, irrespective of their geographical location, social status, occupation or age.

The social and economic benefits to the Australian Commonwealth and the community would be significant, visible and immediately realisable.

Implementing a nation-wide initiative to facilitate public access to key online information resources would also significantly enhance the professional and political status of Australian libraries. In turn, this can only strengthen the social and financial standing of libraries as integral to Australia's information economy and its social infrastructure.

The paper explores ways and means by which to reach these outcomes. It encourages all libraries to respond and participate, through their representative bodies, in a forthcoming National Library forum on the national licensing initiative in October 2005.

**BACKGROUND**

A report on *The Role of Libraries in the Online Environment* by the Senate Environment, Communications, Information Technology and the Arts Reference Committee<sup>1</sup> recommended:

"9 (a) that the National Library of Australia identify a number of key databases for which national site licensing might be desirable; and

(b) that additional Australian Government funding be extended to the National Library of Australia for this purpose."

In response to this report the National Library has initiated discussions with all Australian library sectors to investigate the level of interest and commitment towards developing a proposal to purchase a core set of electronic resources that will be available to all Australians.

At present some library sectors acquire online databases through consortia. However, many libraries are unable to participate in consortia or purchase significant electronic resources because of limited funding. A national consortium would have significant benefits in minimising duplication of effort in acquiring resources and would also enable more libraries to have access to electronic resources.

**INTRODUCTION**

*In an era of the Internet and ever-expanding electronic services* direct and immediate access to online information is fundamental to a well-informed, educated, economically competitive and democratic society. The National Library of Australia is committed to working with many of the peak representative organisations for Australian libraries to achieve free and equitable access to a wide range of information resources for the general community. This commitment is based on the belief that access to a variety of sources of information is now essential to the well being of Australians, regardless of their age, occupation, socio-economic status or geographical location.

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<sup>1</sup> [http://www.aph.gov.au/Senate/committee/ecita\\_ctte/completed\\_inquiries/2002-04/online\\_libraries/index.htm](http://www.aph.gov.au/Senate/committee/ecita_ctte/completed_inquiries/2002-04/online_libraries/index.htm)

As a first step towards realising this goal, a National Site Licensing Reference Group (NSLRG) was established in early 2005 to commence planning. The reference group comprises nominees from:

National Library of Australia (NLA)  
Council of Australian University Librarians (CAUL),  
Australian Government Libraries Information Network (AGLIN)  
Council of Australian State Libraries (CASL)  
Public Libraries Australia (PLA)  
Australian School Library Association (ASLA)  
Health Libraries Australia (HLA)  
Gulliver (Victorian public libraries network)  
Australian Library and Information Association (ALIA).

The national licensing initiative envisages the provision of a set of core, authoritative online information resources for the Australian community through national level licensing agreements. The resources will be available to users of libraries in all sectors, be they national, state, public, university, special or TAFE. The following sections outline the principal objectives and benefits to be gained by national licences for a range of electronic resources. In conjunction with this paper financial information to underpin this proposal is currently being sought and discussions *are being* held with selected vendors to determine the commercial feasibility of national licensing agreements. The paper also suggests a governance and *administrative* structure to implement and administer this national initiative.

The National Site Licensing Reference Group has written this paper to determine the level of interest and support for the proposed national licensing initiative among the general Australian library community.

Feedback will be warmly welcomed.

## 1. OBJECTIVES FOR A NATIONAL LICENCE

The goal of the national licence is to provide all Australians with authoritative, online information resources that will contribute to the social, educational and economic well-being of the community. The licence would aim to:

- enable all Australians, regardless of geographic location, to access quality online information resources in a manner that is both socially equitable and economically sustainable;
- create a collaborative partnership between libraries across the nation for their mutual benefit and that of their users;
- achieve an economically self sufficient and fully funded consortium;
- coordinate the cost effective purchasing of online resources for all library sectors;
- promote at a national level the exchange of ideas and views between consumers, libraries, funding providers, publishers and vendors.

## 2. BENEFITS OF NATIONAL LICENSING

The national licence initiative offers significant potential benefits for Australians and their libraries. These are:

- Australians across all rural, regional and urban areas, all social groups and diverse community organisations would have access to quality online resources through all types of libraries.
- Australians would benefit through access to information that supports business, vocational, government, educational and community activities.
- The licence would be a very tangible step towards overcoming the isolation experienced daily by those living in rural and remote regions of Australia by facilitating their access to reliable and readily available information sources.
- Significant business opportunities and economies of scale would be offered to publishers and suppliers of Australian online resources through access to national markets.
- The bargaining position of libraries would be strengthened by negotiating as a consortium, offering vendors economies of scale and single-point purchasing. Subscriptions to their online resources would become more affordable for libraries and this benefit would flow on to their users in improved services.
- The broader Australian community would become more aware of the benefits of electronic resources and so make more effective and profitable use of them.
- Libraries would acquire a higher profile at all levels of government.

The national licence initiative opens the way to producing a framework for the creation of licences across different library sectors that satisfy the needs of libraries, consumers and vendors. It will facilitate the creation of mutually effective agreements between all interested parties with regard to costs, access

principles, authentication and performance measurements. This initiative would promote a greater consistency in the development and application of technical and contractual criteria, and hence, improved access and authentication to electronic information across all library sectors.

### 3. GOVERNANCE MODEL

Implementing and maintaining a national licence will require a formal administrative structure. The reference group has examined local and overseas models for such a structure. An attractive model is the New Zealand Electronic Purchasing In Collaboration (EPIC) service, which is based on a national approach with participation by libraries in all sectors.

The EPIC service (<http://epic.org.nz/nl/epic.html>):

- is a national electronic licensing initiative involving 176 libraries in all sectors: academic, vocational education, specials, public, schools, health (information as at November 2004);
- makes a variety of electronic resources available to all New Zealanders;
- has the National Library of New Zealand as the lead agency;
- has an administrative support team with a manager hosted at the National Library;
- has a steering committee (the EPIC Governance Group) with representatives from all library sectors;
- is fully funded by member libraries (and, in one case, by a government department) on behalf of all libraries;
- covers the purchase of products and the position of full time EPIC manager through funding from its members.

An Australian national consortium should have a broadly similar basis, making allowance for the three tiers of government and some other differences in Australia.

The reference group suggests that an Australian national consortium might have the following governance:

- libraries in all sectors are able to join the national electronic licensing initiative;
- administrative support is hosted at the National Library;
- the purchase of products and the position of full time manager *will be* funded through library subscriptions;
- the National Library of Australia *acts* as the lead agency;
- a steering committee with representatives *drawn* from library sectors;
- libraries to provide all initial funding but with a view to seeking other funding sources for the consortium in the longer term.

The Steering Committee's terms of reference might be to:

- 1) provide strategic direction for an Australian national licence consortium;
- 2) undertake the management of the consortium. This would include the development of sustainable financial models, monitoring agreements and financial management;
- 3) establish sub-committees for advice as required, including content development and communications;
- 4) promote and develop the range of products acquired;
- 5) liaise with all Australian library sectors and libraries on the development of the consortium and on issues in negotiating licences for electronic products.

#### 3.1 STRUCTURE

As a point of departure the Steering Committee's membership might be drawn from the peak bodies represented on the National Licensing Reference Group, together with any other library forums or associations that have substantial national membership.

If this is seen as too unwieldy, then the governing committee might be limited to one nominee each from AGLIN, CAUL, NLA, ALIA, CASL, ASLA, PLA, HLA, TAFE and special libraries, with a maximum of ten members, to facilitate a managerially coherent structure. All members would have equal voting rights.

To encourage the widest possible input from members, sector based advisory groups elected by their memberships at large, similar to the Kinetica model, would meet periodically to furnish advice to the

governing committee. Wider state-based forum meetings could also be convened as a channel to facilitate communication between the proposed consortium and individual libraries.

Consideration could also be given to the formation of a consortium Standing Advisory Committee with representatives from all major library sectors and vendors. This could act as a forum for discussion on policy and purchasing negotiations more widely. One of the major roles of the consortium is to improve mutual understanding between libraries, vendors and funding authorities on each group's respective needs and concerns. It should be noted that the lack of any definite mechanism at the national level to promote regular contacts between these three key components of the information supply chain is a critical weakness in Australia. The consortium could go a long way to addressing this communication shortfall.

#### 4. CHARGING/FUNDING MODELS

Clearly, funding will be crucial to the success or otherwise of any national consortium. A funding model is proposed in Appendix 1. The Group recommends that four basic principles would apply:

- fees and contributions should be proportionate to the ability of various sized libraries to pay, and be seen as equitable by all participating institutions, large or small.
- fees should cover all necessary administrative overheads for the consortium's operations. The membership fees levied must be sufficient to ensure sustainable self-funding of services in the longer term.
- if government grants are received to assist with the initial implementation of this project, then members must understand that sustainability will be a key issue for its future development.
- Organisations already involved with existing consortia should not be financially disadvantaged by the national licensing initiative.

The funding/charging model in Appendix 1, raise a number of issues, including:

- across library sectors and amongst their user communities (existing consortia - the CASL, CAUL and Gulliver consortia - have differing models);
- the type of funding model will need to be determined for any core set of resources, e.g. it could be based on size of library with a range of tiers;
- a suitably flexible funding model will need to be negotiated with participants for any opt in/opt out deals;
- the possibility of reimbursing an existing entity, such as CAUL, GULLIVER or CASL, to act as an administrative agent for the consortium.

#### 5. -CONTENT/PRODUCT RANGE

Based on the discussions at the December 8<sup>th</sup> forum of last year the National Site Licensing Group has recommended that, in the first instance, the selection and purchase of online resources ought to concentrate on a core set of full text (i.e. not bibliographic) databases. Such databases would be Australian in content and likely to command a high level of interest across library sectors and amongst their user communities. This recommendation is made in the belief that such an approach is the one most likely to attract the widest spectrum of support and which may offer the best prospect of securing external funding, for at least the initial establishment phase.

The decision making process for the selection of materials could be based on a group consensus model, either through the suggested governance group or a dedicated working group. The core set could then be expanded in time with an opt in/ opt out model for the purchase of more sector-specific products.

Once a consortium is created it is proposed that the most appropriate core products are identified speedily and negotiations for purchase are concluded as quickly as practicable. This is to ensure that the project maintains its momentum and that the concept becomes operational by the end of 2006. The future selection and expansion of resources will be far easier for current and potential participants to accomplish once a practical service is in place.

The specific type of products suggested for the consortium in the establishment phase are:

- APAFT ( Australian Public Affairs Full Text);
- a product with extensive Australian newspaper coverage;
- a health product.

## 6. ADMINISTRATION, COMMUNICATION AND MARKETING

The membership of the consortium and its governance group would have to consider a range of issues in relation to the administration of resources, communication with all interested parties, marketing services to both users and funding sources, and associated budgetary matters. Much of the detail would have to be determined at a later stage; but initially the following issues need to be taken into account:

- information on usage (based on COUNTER wherever possible) will be required to demonstrate the effectiveness of the consortium and to monitor uptake;
- the consortium would need administrative support to develop work plans, negotiate trial access to resources, negotiate licences and generally support the governance group by arranging teleconferences and meetings;
- the need, role and scope of a national model licence drafted or endorsed by the consortium should be examined as a priority. Matters to be considered for such a model licence would include the establishment of appropriate service levels for access and authentication to online resources, privacy issues and the application of copyright in accordance with Australian law;
- the contribution of libraries to the consortium in delivering access to various products has to be emphasised and made visible through marketing strategies;
- marketing information and communications have to be developed and shared to ensure that as many library users as possible are aware of the products available through the consortium;
- branding will also need to be addressed as a significant part of communication;
- effective communication with Australian libraries will also be vital for the success of the consortium.

## 7. YOUR INPUT

This paper has been prepared to provide information on a proposed Australian national site licence for a set of electronic resources for all Australians. The paper presents the reasons, the requirements and the benefits of a national consortium for providing access to online information resources for the Australian community and for organisations, governments and libraries of all disciplines. It does not seek to impose a single approach to reaching this goal, merely to stimulate debate on the whys and hows to achieve that goal.

The National Licensing Reference Group now seeks your input and feedback to determine:

- whether the majority of Australian libraries are interested in and would support a national licence;
- your views on the proposed model, including governance and funding;
- any issues you would particularly like to comment on, relating either to the proposed model or to alternative approaches.
- what, in the above proposals, would not work for your library or your sector.

Comments can be made through a web form at [INSERT URL](#) or by email to [CasIConsortium@nla.gov.au](mailto:CasIConsortium@nla.gov.au). If you wish to discuss this with a members of the working group please contact them directly - members are listed in appendix 2.

## 8. FURTHER NATIONAL DISCUSSION

The National Library will be holding a second forum on national licences on 12 October 2005 to which all representative bodies will be invited. The forum will consider:

- (1) the final report of the National Licensing Reference Group, including information collected on the degree of support for the concept of national access to a range of online information resources beneficial to the Australian public as a whole;
- (2) future directions for the development of a national licence initiative that would be achievable in the near future through collaboration between all library sectors.

### ISSUES PAPER APPENDICES

- (1) Suggested funding model for an Australian licence.
- (2) Membership and terms of reference of the NLA National Licensing reference group as at June 2005.
- (3) Recommended background readings on a "national site licence."

**Appendix One:  
Funding model for an Australian National Licence**

The principles for the funding mode for the Australian National Licence are:

- fees levied must be sufficient to ensure sustainable self-funding;
- fees will cover purchase of product and funding for administrative support;
- for existing subscribers to products the licence will minimise additional costs;
- for new subscribers the licence will obtain best possible price;
- the funding model must offer flexibility to meet the needs of particular sectors, for example if state or commonwealth funding is available;
- annual fees need to be set to enable budgeting by members;
- libraries may choose to join the consortium.

The financial mode proposed offers a set of cost bands based on the size of the library, measured by a sector specific indicator. The costs bands were developed in consultation with library sectors.

Sector	Description	Indicator	Comments
Schools	Small schools	FTE student size Up to 300	ABS, DEST and AEU all use student population in determining categories of schools. ASLA supports this method.
	Medium schools	FTE student size 301 to 800	
	Large schools	FTE student size 801 +	
Specials Both not for profit and profit	Very small special library	Annual acquisitions budget < \$49,999	
	Small special library	Annual acquisitions budget \$50,000 - \$99,999	
	Medium special library	Annual acquisitions budget \$100,000 - \$199,999	
	Large special library	Annual acquisitions budget \$200,000 - \$299,999	
Public libraries	Very large special library	Annual acquisitions budget > \$300,000	
	Very small public library	Population < 1,999	
	Small public library	Population 2000 - 9,999	
	Medium public library	Population 10,000 - 49,999	
	Upper medium public library	Population 50,000 - 149,999	
State and national libraries	Large public library	Population 150,000 -500,000	
	Very large public library	Population > 500,000	
	Small	ACT Territory Library and Information Service Northern Territory Library and Information Service State Library of Tasmania	
	Medium	State Library of South Australia State Library of Queensland	

		State Library of Western Australia	
	Large	National Library of Australia State Library of New South Wales State Library of Victoria	
<b>University libraries</b>	Small university library	< 10,000 FTE	
	Medium university library	< 15,000 FTE	
	Large university library	< 23,000 FTE	
	Very large university library	> 23,000 FTE	
<b>TAFE</b>	Small	Effective Full time student size Up to 3700	Effective Full Time (EFT) = Student Contact Hours = 540
	Medium	Effective Full time student size 3701 to 9250	
	Large	Effective Full time student size 9251 +	

**Appendix Two:  
Membership and terms of reference of the NLA National Licensing reference group as at June 2005**

Convenor

Karen Vitullo (AGLIN), Director, Library and Extension Services, Australian Bureau of Statistics

ALIA representative

Richard Sayers, Convenor, ALIA purchasing and consortia reference group

ASLA representative

Lorene Furmage, Vice President, ASLA

CASL representative

Oliver Mann, Convenor, CASL Consortium

CAUL representatives

Diane Costello, Executive Officer, CAUL

Heather Gordon, Executive Director, Information Services, University of the Sunshine Coast

Health Libraries Australia representative

Lindsay Harris, Library Manager, The Queen Elizabeth Hospital

NLA representative

Roxanne Missingham, Assistant Director-General, Resource Sharing

Public Libraries Australia representatives

Robert Knight, Director, Riverina Regional Library

Lynne Makin, Executive Officer/Company Secretary, Public Libraries Australia

Viclink/Gulliver representative

Julie Rae, CEO & Regional Library Manager, Central Highlands Regional Library

### CAUL Strategic Plan Report to CAUL

Author: Ruth Quinn  
Date: 5 September 2005  
Date of previous report: 21 March 2005

<b>Section</b>	1. Contribution to Teaching and Learning
<b>Action</b>	Promote the development of standards, protocols and systems that will ensure a responsive and robust information environment to support flexible learning.  Undertake research and evaluation in information literacy as a graduate attribute.
<b>Responsibility</b>	Information Literacy Working Group
<b>Time-line</b>	Ongoing
<b>Activity since last report</b>	No teleconferences held since last report. Group agreed to concentrate on liaising with Ralph Catts to finalise the Information Skills Survey. Thanks to Graham Black from USQ for liaising with Ralph Catts re the survey up to now. Ralph and myself are now in direct correspondence regarding future directions for the ISS Project and his involvement.  Monitored activities from the Carrick Institute and circulated relevant information to CAUL members.
<b>Achievements since last report</b>	Final version of technical manual received from Ralph Catts. There still remains the issue of an Analysis manual.  Accepted CAUL Exec's offer to convene ILWG until end 2006, with a commitment to review the ToR and make a recommendation to the Sep 06 meeting of CAUL re continuance of the group.
<b>Publicity, reports, publications since last report</b>	None.
<b>Plan for forthcoming activity</b>	<ol style="list-style-type: none"> <li>1. Make the final technical manual available from the CAUL webpage and promote to IL community.</li> <li>2. Review the information contained in the first manual regarding analysis of results and make a decision re the requirement for another manual.</li> <li>3. Review ToR of ILWG and prepare a recommendation re the group's continued existence.</li> </ol>
<b>CAUL budget implications</b>	There needs to be an allocation in the 06 budget for at least three teleconferences of the smaller ILWG group.
<b>Recommendations to CAUL</b>	That the report be noted.

Pro-forma updated 7 June, 2005

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## **A COLLABORATIVE APPROACH TO DEVELOPING AND MAINTAINING ENDNOTE SUPPORT RESOURCES**

### **DISCUSSION PAPER**

#### **Background**

The demand for Endnote training and support by academic staff and students has been steadily increasing, therefore impacting significantly on staff time at the University of Wollongong (UoW) Library. Keeping up with new releases of software and amending existing resources has proved resource intensive.

Earlier this year Bond University distributed an “EndNote” survey to CAUL libraries. The survey results highlighted that the majority of CAUL libraries, like UoW, maintain a combination of tutorials, self help guides, FAQs and offer personal assistance. This prompted the University of Wollongong Library staff to investigate the viability of a consortial approach to training and support for Endnote.

The survey results and further discussions with Bond University Library staff indicated that the QULOC consortial approach is already well established in Queensland and is operating very effectively.

This discussion paper proposes several models for a CAUL consortial approach to support EndNote documentation and training.

#### **Main Issues**

##### ***Training***

EndNote classes have become the most popular and well attended generic workshops at the University of Wollongong Library (UOW). Postgraduate students, academic and general staff form the majority of attendees, however, academic staff are now expecting undergraduate students to become familiar with and use the program. Consequently, EndNote training and support is escalating.

##### ***Software***

Frequent releases of updated software require thorough evaluation involving testing of new functionality. New releases in the past have come with inherent problems making the release across campus more problematic.

##### ***Online learning modules***

Online tutorials and support materials require extensive time and expertise to develop a pedagogically sound tool. Each new release of software will require modifying these materials in a timely manner.

##### ***Filters***

The EndNote software contains in-built filters to download records from selected databases. However, filters are not always readily available for a number of databases and libraries are creating custom made filters. In addition, when a database interface changes or is modified this may require additional work to change the download instructions.

The survey results indicate libraries are replicating problem solving, and the development of online tutorials, handouts, FAQs and filter instructions.

#### **Proposed solutions**

##### **1. Central model**

Allocate funds to support a partial position, located in one of the universities where Endnote training and support is already well established. CAUL funding could provide an allowance for a staff member to test the release of new software versions and make recommendation to all universities about updating requirements, and develop:

- a. student handouts
- b. instructor manuals or lesson outlines

- c. online learning tutorials
- d. FAQs (not computer or software version related questions)
- e. technical support documentation, a comprehensive comparison from old to new software (endnote computer compatibility)
- f. filter pages

The staff member would be required to offer “train the trainer” support in the major capital cities and, where available, offer training via the “Access Grid” or other appropriate software.

## 2. Distributed model

Allocate funding for one university library to take the role of central administration, and several libraries to contribute in their areas of expertise.

### For example:

- a. University A is the central administrator and provides a staff member to test new software versions and provide comprehensive documentation on version comparison. This includes technical support documentation. This information is supplied to universities B – E
- b. University B develops and maintains a generic online tutorial
- c. University C develops and updates instructor manual and student handouts, and provides “train the trainer” support
- d. University D maintains documentation and support for filters
- e. University E develops and maintains FAQs

## 3. Modified Model

Allocate funding to support a model similar to the one currently established with QULOC.

Certain aspects of the above models, which are particularly labour intensive, could be developed and maintained centrally. This would require one university to test new versions of the software and:

- a) develop and maintain the filters page
- b) provide technical support documentation
- c) develop and maintain FAQs.
- d) provide “train the trainer” support

All other universities would be responsible for developing their own workshop training material, lesson plans and handouts.

## Benefits

Each of the proposed solutions has organisational complexities and yet they all provide the following collective benefits. These include:

- a) a reduction in duplication, therefore time and cost savings for all universities
- b) a collection of well developed material, which can be adapted for local use
- c) a uniform approach across the sector
- d) sharing of knowledge and expertise
- e) a centralised support network

## Recommendations

1. CAUL discuss the paper at the September meeting
2. Members gauge the level of interest in a consortial approach to Endnote support
3. If sufficient interest is expressed, CAUL request a detailed funding proposal based on the preferred model

## CAUL Strategic Plan Report to CAUL

Author: **Felicity McGregor**

(Date: 8.8.05; Date of previous report: 1.5.05)

<b>Section</b>	BEST PRACTICE
<b>Action</b>	<ol style="list-style-type: none"> <li>1. Review and develop indicators of the quality of library information and research services and develop measures to support them.</li> <li>2. Other indicators</li> <li>3. Rodski surveys</li> </ol>
<b>Responsibility</b>	Best Practice Working Group (Felicity McGregor)
<b>Time-line</b>	<ol style="list-style-type: none"> <li>1. Project to be completed by end 2005</li> </ol>
<b>Activity and Achievements since last report</b>	<p><b><u>Performance Indicators for Digital Reference (Information and Research) Services</u></b></p> <p>See attached report from the project group.</p> <p><b><u>Electronic Materials Availability Indicator</u></b></p> <p>QUT has been planning an electronic materials availability survey for some time. Many of us have been watching this project with great interest with a view to using the results to assist us to update the current MAS survey tool. QUT staff have not yet finalized the tool. Further work needs to be undertaken. There is a possibility that QULOC Quality Issues WP may seek funding to turn this into a collaborative project.</p> <p><b><u>Rodski</u></b></p> <p>Stan Rodski will attend the CAUL meeting to provide an update on developments with Rodski surveys and to respond to questions.</p> <p><b>Rodski Employee survey</b> – A number of CAUL members are conducting the Rodski employee perception surveys this year. Some universities have decided to use the survey developed for the Universitas 21 group initially and adapted by others. Some libraries have been sharing their summary data.</p> <p><b>The International Client Satisfaction Survey</b> is nearing completion following feedback from participating libraries. This is being coordinated by Frances O’Neil at VUT.</p>
<b>Publicity, reports, publications since last report</b>	<p><b><u>QULOC Seminar</u></b></p> <p>(Report from Gulcin Cribb)</p> <p>QULOC Quality Issues Working party organized a workshop titled “LibQUAL+ and Rodski: a comparative insight” on the 1<sup>st</sup> July. The seminar was well attended by library staff from a number of universities around the country and from New Zealand.</p> <p>The speakers included Felicity McGregor on customer satisfaction assessment in university libraries – a CAUL perspective, Cathie Jilovsky on LibQUAL+, Geoff Williams, CEO of Rodski/Ambit on an overview of Rodski assessment tools and Lynn Murdoch on Rodski and LibQUAL+ -the RMIT experience. The panel discussion was interactive and interesting. The whole seminar was very informative and presented a balanced overview of the two tools.</p>

	<p>The power point presentations will be available from the QULOC website at:</p> <p><a href="http://www.quloc.org.au/">http://www.quloc.org.au/</a></p> <p>The evaluation indicated that most people thought the workshop helped them have a better understanding of the two survey instruments. They thought the speakers were knowledgeable and very informative. There was a suggestion that maybe the seminar should be revisited once more people used both the instruments.</p>
<b>Plan for forthcoming activity</b>	
<b>Recommendations to CAUL</b>	<p><b><u>Rodski:</u></b></p> <p>That CAUL consider how it might wish to work with Rodksi on developing and improving surveys</p> <p><b><u>Performance Indicators for Digital Reference (Information and Research) Services:</u></b></p> <p>That CAUL note progress with the project.</p>

## **Key Performance Indicators Project Update for CAUL Best Practice Working Party.**

### **Milestones:**

The project has reached a new milestone. Data collection for the project is ready to begin. The survey packs were sent out to the Unison Libraries for data to be collected in August. Each library can choose the two weeks that best suit the institutional semester program. The survey pack was sent by both mail and email and contained:

1. The cover letter
2. The survey instructions
3. The library profile and digital reference survey
4. a. The staffing and training programs survey  
b. The staffing and training programs survey-example
5. The digital reference statistics survey
6. The digital reference client satisfaction survey

### **Pilot Test Survey Report:**

Feedback from the test group identified shortfalls with the survey documentation and highlighted several areas of inconsistency. A discussion was held on what is a reference question, or a service question, or referred on. Each library may use strict guidelines, or group various question categories together, and this could slant results. It was decided that the survey will ask the UNISON libraries to use their own current, in-house definitions of what is a reference question.

Timing for statistics collection for the test survey encountered problems, as the survey ran across Easter and mid-semester. The test survey highlighted many problems in collecting the statistics, as each library collected different statistics, in different methods, and on different systems.

The collection of email data was also an issue. A discussion was held on whether to include questions sent electronically to individual subject specialist librarians. It was decided that it should be noted when the survey is sent out to the UNISON libraries that it was not necessary to include individual email/chat enquiries to subject specialist/ faculty librarians / subject liaison officers / department/school librarians. However the various libraries should note if they are/are not included.

Participating Libraries will also include a one paragraph description on what they are counting in their statistics. Knowing some of the differences can lead to getting better information for KPIs in the future. The project KPIs are listed below.

**ASK Model: Key Performance Indicators**

<b>ASK Performance Indicator</b>	<b>ASK Model Definition</b>	<b>Performance Measure</b>
<b><u>ATTRIBUTES</u></b> Analytical skills	Ability to analyse the information needs of a range of users and provide solutions that meet the resource constraints of the situation	Customer satisfaction survey Rodski survey
<b><u>SUPPORT</u></b> Staffing the reference service	Level, quality and consistency of staffing that is provided to meet the information demands of the teaching, research and learning objectives of the institution. Development of staff skills through training, teamwork and continuing education	Training of staff for digital reference services
<b><u>KNOWLEDGE</u></b> Matching resources to user needs	Proactively building collections and providing access to information resources that meet the needs of the user	Completion of weekly digital reference statistical survey
(CAVAL Reference Interest Group. Working Party on Performance Measures for Reference Services, 1998)		

## CAUL Strategic Plan Report to CAUL

Author: **Derek Whitehead**

(Date: Sept 2005; Date of previous report: Apr 2005)

**“Cheap, useful, fairly valid.”**

<b>Section</b>	<b>3 – Management for Best Practice</b>
<b>Action</b>	13 Collect and publish statistics on Australasian university library outputs and activities. 18 Review the current CAUL statistical measures – presentation format, usefulness, use and users and present a plan and proposal to CAUL.
<b>Responsibility</b>	Statistics Focus Group / Derek Whitehead
<b>Time-line</b>	Ongoing.
<b>Activity since last report</b>	<p>Since the last meeting of CAUL (in Apr 2005)</p> <ol style="list-style-type: none"> <li>1 Christine Wilson (Auckland) has been appointed to the committee in place of Isobel Mosley; and Maxine Brodie has been added to the committee because of the synergies with her work in the Australian and international standards community over a long time</li> <li>2 The redevelopment of the statistics website and functionality was completed in April 2005, with the finalisation of the online input module. The software was tested during the data collection in 2005. It is here <a href="http://statistics.caul.edu.au/">http://statistics.caul.edu.au/</a></li> <li>3 Collection of 2004 data began on 9 May, concluded notionally on 17 June, and was actually concluded in July; the new online collection form was used (see Attachment 1). Data now includes reciprocal borrowing data at a national level (loans and registrations) – and expenditure on electronic resources. It will be available online early in September.</li> <li>4 Preliminary work on comparison of dual sector and mono sector universities has been completed (Attachment 2). It will be further considered by the CSFG in November.</li> <li>5 The CSFG continues to monitor the option of collecting three new measures for online journals databases - viz. number of logins, number of database searches, and number of full-text retrievals. They may be collected in 2006, if practicable; CONZUL collects them now.</li> </ol> <p>The CAUL Statistics Focus Group has not met since the 3 February in person meeting.</p>
<b>Achievements since last report</b>	See above
<b>Publicity, reports, publications since last report</b>	<ol style="list-style-type: none"> <li>1 The 2004 CAUL statistics will be available on the CAUL website in the first week of September.</li> <li>2 Cathie Jilovsky gave a paper "Library Statistics: reflecting yesterday, today and tomorrow" at the recent 6th Northumbria Conference on Performance Measures. <a href="http://online.northumbria.ac.uk/faculties/art/information_studies/imri/pm6/">http://online.northumbria.ac.uk/faculties/art/information_studies/imri/pm6/</a></li> </ol>

<b>Plan for forthcoming activity</b>	<ol style="list-style-type: none"> <li>1 A meeting has been scheduled for 14<sup>th</sup> November.</li> <li>2 The CSFG has agreed to pilot collection of data on e-books. It will follow the approach recommended by COUNTER in their draft e-books specification.</li> <li>3 The CSFG will determine whether we wish to include information about offshore students in the 2005 data collection, and if so whether there are any issues.</li> <li>4 The CSFG will consider how to use a "TAFE deflator" with the new statistical format to permit better comparisons between institutions.</li> <li>5 The CSFG will consider a proposal from Gaynor Austen for a trend evaluation of CAUL statistics over, say, the past decade, as commissioned research.</li> </ol>
<b>Recommendations to CAUL</b>	<b>That this report be accepted.</b>

## Attachment 1 COLLECTION OF CAUL STATISTICS FOR 2004

Dear Colleague,

CAVAL is again collecting the Australian and New Zealand Academic Library Statistics on behalf of CAUL. According to my records you either completed the 2003 return for your institution, or your institution has since notified me that you will be collecting the 2004 statistics. If you are no longer the appropriate contact person could you please advise me or forward this message as soon as possible.

The data for the 2004 CAUL Statistics is to be entered using the Input Module of the CAUL Statistics Online website. The site is at <http://statistics.caul.edu.au> and the Input Module is accessed via the "Input Data" menu option, at the top right of the screen.

Each institution has been allocated one login, this is your NUC symbol and the initial password has been set to statistics. I strongly recommend that you change this password after your first logon. Please contact either Anna Steele or myself at [caul-stats@caval.edu.au](mailto:caul-stats@caval.edu.au) for assistance.

The Due Date for completion of your data entry is 17th JUNE 2005.

Please note the following

1. The full functionality of the site incorporates Java script. If this is not enabled some functions will work slightly differently - please contact us for further information.
2. The Deemed List should be used for calculating new, cancelled and current Serial Titles for e-journals which are part of Publisher's collections or Aggregations. It is available as an Excel spreadsheet which can be downloaded from the site. Please email us your completed Deemed List.
3. The Input Module incorporates a range of data validation checks. In particular the value of your 2003 data is displayed for each data element and you will be given a warning if the value you enter for 2004 differs by more than 10%. Further details and general instructions are displayed on the Introductory page of the module.
4. All definitions for the data elements can be accessed from the Introductory page. This includes a facility to download and print the definitions and instructions. There are 3 NEW data elements for the 2004 data. These are ULA/ULANZ Loans (in Library Services), ULA Borrowers (in Institutional Population) and Expenditure e-resources (in Library Expenditure).
5. The 2004 data will not be available from the rest of the Online Statistics website until data from ALL institutions has been input, submitted and verified by CAVAL (this will include the incorporation of population data from DEST for all publicly-funded Australian Universities).

Your cooperation in completing the data entry for your institution by the 17th JUNE will assist as to make the collated data available in a timely manner. The data will be published in the September issue of AARL as in past years.

Many thanks to those of you who have assisted us with the testing phases, your feedback and comments have been most helpful. No doubt there will be some teething problems with the Input Module – please don't hesitate to contact us with any questions or problems. Emailing [caul-stats@caval.edu.au](mailto:caul-stats@caval.edu.au) will ensure the speediest response.

Cathie

caul-stats mailing list [caul-stats@caul.edu.au](mailto:caul-stats@caul.edu.au)  
<http://mailman.anu.edu.au/mailman/listinfo/caul-stats>

## Attachment 2

### The Cost of Providing a Library Service to TAFE Students in a Dual Sector University: the TAFE Deflator

#### Dual Sector Universities and their Libraries

Five Australian universities are formally dual sector – that is, they include both higher education and TAFE students. In most cases, statistical information about these universities and their libraries can not be broken down into TAFE information and Higher Education information. In all cases, library services are closely integrated so that, although there may be campuses which are either higher education or TAFE, they are not exclusively so.

**Table 1 – Dual Sector Universities – 2003**

University	Higher Ed students EFTSU	Higher degree EFTSU	TAFE students EFTSU/EFT	Total students
Charles Darwin	4,782	894	446	6,122
RMIT	31,573	3,910	7,294	42,777
Swinburne	7,658	2,511	11,791	21,960
Ballarat	4,079	1,270	7,368	12,717
Victoria University	11,894	2,130	17,157	31,181
TOTAL	59,986	10,715	44,056	114,757

Dual sector university libraries always drop to the bottom of any rankings – such as use per student – because the use of libraries by TAFE students is, on average, less than that of higher education students; the same is true of resource provision for TAFE students. An objective established by the CAUL Statistics Focus Group has been to develop a so-called TAFE deflator, which would provide some indicator of the extent to which this is the case. What are the relative levels of use and resource provision between the two sectors?

At Swinburne University of Technology, from which this paper derives, cost drivers are used to determine the relative contributions to the funding of central services (including the library) by the TAFE and Higher Education sectors; this system has applied since the late 1990s. For the library this cost driver (which was devised in the late 1990s) is based almost entirely on loans, with one fifteenth of the cost driver derived from information literacy – effectively, training and orientation sessions. This cost driver is about 28:72 which means that in 2003 28% of the operating costs of the library (other than collections) was paid by the TAFE Division, and 72% by the Higher Education and Lilydale Divisions. Weighting for relative numbers provides a ratio of 33.02, as calculated below.

The intent is to derive the cost driver from the cost of providing library services to an average TAFE student, compared with the cost for a higher education student. In 2003 the total budgeted amount to which cost drivers applied was \$4,319,000. Of this

- o 72.22% was paid by Higher Education, giving a total of \$3,119,200 or \$308.34 per EFTSU.
- o 27.78% was paid by TAFE, giving a total of \$1,199,800 or \$101.82 per EFTSU.

The ratio between the two sectors is therefore 33.02 – a TAFE student costs 33.02% of a Higher Education student in library support.

At Swinburne there are separate cost drivers for the library materials budget and for copyright. The ratio for the materials budget in 2003 was 12.02, a negotiated figure. For copyright payments the

ratio is derived from the formula developed by the AVCC, which regards one TAFE student as equivalent, for copyright purposes, to 22% of a higher education student.

## **What Dual Sector Universities Know**

The information which is available from dual sector university libraries on the basis of sector (TAFE and higher education) consists only of the following

### ***1 Loans and related information***

Loans and other information generated by the ILMS (such as categories of loans, or numbers of active borrowers) is matched at most dual sector universities against the student database, and therefore data can be provided on the basis of sector. However, RMIT does not do this, and is only able to use data from predominantly TAFE campuses (Carlton and Brunswick) as a surrogate for sector-specific data.

### ***2 Student and staff numbers***

Even this information is problematical. Higher education students are counted as persons and as EFTSU (equivalent full time student units), while TAFE students are counted as student contact hours (SCHs) and as EFT students (equivalent full time). In order to convert the former to the latter, a divisor is used. In some cases this is 720, and in other cases it is 540. It is said that 720 SCHs represents an average full-time requirement, while 540 SCHs represents the minimum requirement which could be regarded as full-time. The appropriate divisor to use is therefore 720.

Staff numbers are also usually available separately for TAFE and higher education sectors.

### ***3 Expenditure on collections***

Expenditure on collections is divided in most institutions between TAFE and higher education material, although as the proportion of material in digital form increases, this becomes less meaningful.

### ***4 Information literacy***

Libraries may collection information about numbers of classes and numbers of students and, in the case of TAFE students, student contact hours.

### ***5 Use of student open access PCs***

This is information which exists on a sector basis, but is not collected by anyone.

### ***6 Use of online databases***

Swinburne has used the facility in EZProxy to provide this information to produce breakdowns of database use, including the online reserve, by sector. However, the implementation of federated searching through AARLIN at the end of 2004 made this data (which has some flaws anyway) even more flawed.

### ***7 Traffic/occupancy/number of people using the library***

Swinburne has obtained this information through surveys.

### ***8 User satisfaction surveys***

Dual sector universities use the Rodski survey instrument, or (in the case of RMIT) both Rodski and LibQual. Swinburne, Victoria University and several stand-alone TAFE's have been benchmarking their user satisfaction ratios using Rodski data.

Table 2 (below) uses Swinburne and VU data to show some relationships between Higher Education and TAFE outputs, and puts together information which is intended to help determine the relative resources required to service each sector. RMIT data has not been used since it is not collected on the same basis.

## Developing a TAFE Deflator

As can be seen, the data for use of services shows a wide range of ratios, and also changes over time.

At Swinburne, TAFE loans show a steady decline from 33.7% of the higher education rate in 2001, to 17.4% in 2004. On the other hand, at the Hawthorn campus the change has been from 40.2% to 27.0%. At VU there is data for first time loans (i.e. excluding renewals) and this shows a higher ratio than that for loans+renewals – 32% to 20%, and 26% to 17% in 2004. This may indicate that in higher education there is a higher incidence of renewals – an action which is very low cost for the library – than amongst TAFE students.

Loans are the best measured, most reliable indicator of student use of library services. Nevertheless, there are problems in their use, as shown above.

Swinburne has used several other measures, in an attempt to verify or otherwise the value of the cost drivers. Of these measures, active borrower ratios are higher than actual loan ratios – in other words, the proportion of TAFE students using the loans system is higher than the proportion of loans accounted for by TAFE – they borrow fewer books each.

TAFE use of online databases is much lower than their proportionate use of the loans system – about 13.3% of the higher education use of online reserve (a service mainly but not entirely aimed at higher education students) and 12.5% of a popular aggregated journal database, Ebsco.

Expenditure on materials per capita is similar at Victoria University and Swinburne – expenditure on specifically TAFE resources is no more than 10% of the per capita rate for higher education. Two qualifications to this: it is a matter of choice by the divisions; and there may be an effect of low materials provision in lower use.

Finally, Swinburne has also run some traffic surveys, and these indicated that TAFE students and staff accounted for approximately 28% of total traffic in 2001, and 33% of traffic (people using the physical library space) in 2003. Because the library is the main location for open access computers at four of our five campuses, this may be a significant part of TAFE use of the library.

It is not really possible to say, at this stage, that TAFE use of the library is a particular percentage of higher education use. However, it looks as though the figure is 10% for cost materials and something like 25-30% for other costs.

A next step might be to look at the cost elements of the library – what are the main costs? Do TAFE students use more of costly services than of inexpensive services? Or vice versa? Is the use of computers in the library different to the use of books and journals?

## Where Next?

The next step will be for the CAUL Statistics Focus Group to look at how we can use this TAFE deflator (about 27%) in producing more useful ratios within the CAUL statistics. It needs to be emphasised that this is a broad rule of thumb (to stretch a metaphor) – for example, just as the resources required to support a TAFE student are much lower than those required to support a higher education student, so the resources required for a research student are also likely to be correspondingly higher.

**Table 2**  
**TAFE and Higher Education Ratios**

<b>Loans - Swinburne - 2004</b>	<b>students</b>	<b>loans</b>	<b>per student</b>
Higher education	10,102	472,365	46.76
TAFE	(est.) 12,000	108,075	9.01
<i>Ratio</i>			19.27%
<b>Loans - Swinburne - 2003</b>	<b>students</b>	<b>loans</b>	<b>per student</b>
Higher Education	10,116	453,597	44.84
TAFE	11,784	124,281	10.55
<i>Ratio</i>			23.52%
<b>Loans - Swinburne - 2002</b>	<b>students</b>	<b>loans</b>	<b>per student</b>
Higher Education	9951	385,737	38.76
TAFE	11,784	136,887	11.62
<i>Ratio</i>			29.98%
<b>Loans 2001</b>	<b>students</b>	<b>loans</b>	<b>per student</b>
Higher Education	9,838	347,721	35.34
TAFE	11,047	131,644	11.92
<i>Ratio</i>			33.73%
<b>Loans - VU - 2003</b>	<b>students</b>	<b>loans</b>	<b>per student</b>
Higher Education	14,024	976,763	69.65
TAFE	17,157	188,696	11.00
<i>Ratio</i>			15.79%
<b>First Time Loans - VU - 2003</b>	<b>students</b>	<b>loans</b>	<b>per student</b>
Higher Education	14,024	240,590	17.16
TAFE	17,157	94,772	5.52
<i>Ratio</i>			32.17%
<b>Active borrowers - Swinburne - 2001</b>	<b>students</b>	<b>active</b>	<b>percent</b>
Higher Education	13,029	10,440	80.13
TAFE	22,636	7,226	31.92
<i>Ratio</i>			39.83%
<b>Active borrowers - VU - 2003</b>	<b>students</b>	<b>active</b>	<b>percent</b>
Higher Education	14,024	12,434	88.66%
TAFE	17,157	5,318	31.00%
<i>Ratio</i>			34.97%
<b>Loans per active borrower - Swinburne - 2001</b>		<b>loans</b>	
Higher Education		33.31	
TAFE		18.22	
<i>Ratio</i>		54.70%	
<b>Loans per active borrower- VU - 2003</b>		<b>loans</b>	
Higher Education		78.56	
TAFE		35.48	

*Ratio* 45.16%

**Collection budget - Swinburne - 2003**

Higher Education	89.27%
TAFE	10.73%
<i>Ratio</i>	12.02%

**Online reserve use (sessions) - Swinburne - 2003**

Higher Ed	84.28%
TAFE	11.19%
<i>Ratio</i>	13.28%

**Database use (EBSCO: sessions) - Swinburne - 2003**

Higher Ed	81.77%
TAFE	10.23%
<i>Ratio</i>	12.51%

**Traffic (surveys) - Swinburne**

	<b>2001</b>	<b>2003</b>
Higher Ed students and staff	72.20%	66.60%
TAFE students and staff	27.80%	33.40%
<i>Ratio</i>	38.50%	50.15%

**Derek Whitehead**  
**2 September, 2005**

## CAUL Strategic Plan Report to CAUL

Author: Maxine Brodie

Date: 2 September 2005

Date of previous report: 15 March 2005

<b>Section</b>	667 Management for Best Practice: Standards
<b>Action</b>	Report on activities of Standards Australia Committee IT/019
<b>Responsibility</b>	Maxine Brodie
<b>Time-line</b>	ongoing
<b>Activity since last report</b>	The Committee has met twice – once in Canberra on 22 April and once in Melbourne on 15 July 2005.
<b>Achievements since last report</b>	<p><i>ISO 2108:2005 International Standard Book Number (ISBN)</i> was published on 30 May 2005. This fourth edition of ISO 2108 introduces the first major change in decades to the global ISBN system as it changes from a 10-digit to a 13-digit number. This will be cloned as an A/NZ standard.</p> <p><i>Project 2427: ISO 2146//A/NZ4779:2003 Registry Services for Libraries and Related Organisations</i> Judith Pearce and Janifer Gatenby are writing a white paper on a new framework for resource discovery and delivery which will be circulated widely for comment by end September 05.</p> <p><i>RFID</i> – The Committee endorsed the formation of an Australian working group of vendor, publisher and practitioner representatives to have input to the development of an international standard.</p> <p><i>Metadata Code of Practice</i> Members of Subcommittee IT-19-01 are pursuing the development of A/NZ Metadata Code of Practice for education, learning and development. The guide will model partly on the UK codes of practices recently published. Workshops were held in February and in May at the DC-ANZ conference and input for the new work item was captured. Use cases are suggested as a good way of conveying the process. Jon Mason and Debbie Campbell intend to produce a first draft by October to be presented at the Wellington seminar.</p>
<b>Publicity, reports, publications since last report</b>	<p>A seminar on standards development was held in Sydney on 25 November 2004. Speakers' presentations are available on the public area of the IT-19 committee website at:  <a href="https://committees.standards.com.au/COMMITTEES/IT-019/S0003/IT-019-S0003.HTM">https://committees.standards.com.au/COMMITTEES/IT-019/S0003/IT-019-S0003.HTM</a></p>
<b>Plan for forthcoming activity</b>	<p>Standards Update seminar in Wellington on 26 October 2005.</p> <p>Next meeting of the Committee in Wellington on 27 October 2005</p>
<b>CAUL budget implications</b>	Nil
<b>Recommendations to CAUL</b>	For information

Pro-forma updated 19 July, 2004.

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### CAUL Strategic Plan Report to CAUL

Author: Eve Woodberry  
Date: 2 September 2005  
Date of previous report: 18 March 2005

<b>Section</b>	Advocacy, Marketing, Communication
<b>Action</b>	Present CAUL position to copyright meetings, references and inquires. Represent CAUL at meetings involving copyright issues in various forums
<b>Responsibility</b>	Represent CAUL and provide feedback to members on issues relating to copyright at a national and international level. Represent CAUL on the ALCC. Respond to copyright references and reports on behalf of CAUL Keep CAUL members advised of AVCC negotiations and developments regarding relationships with CAL, Screenrights and other copyright collecting agencies. Circulate to CAUL matters of interest and developments in copyright legislation
<b>Time-line</b>	As required
<b>Activity since last report</b>	Attended seminar and provided Australian response to "Correcting Course: Rebalancing Copyright for Libraries in the National and International Arenas". An Invitational Conference hosted by Columbia University on behalf of the ALA Office on Information Technology Policy. 5-7 May 2005 Columbia University. The programme and papers are available at <a href="http://correctingcourse.columbia.edu/program.html">http://correctingcourse.columbia.edu/program.html</a> Presented the Australian Country Report and contributed to IFLA Copyright and other Legal matters (CLM) meetings I and II in Oslo, August 2005. Organised the seminar on "Libraries and Free Trade Agreements" for IFLA CLM, Oslo 2005.
<b>Achievements since last report</b>	
<b>Publicity, reports, publications since last report</b>	Provided CAUL submission to Attorney Generals on "Fair use and other copyright exceptions." Contributed to the DEST discussions and preparation of their submission to the above.
<b>Plan for forthcoming activity</b>	Represent CAUL at the ALCC meeting scheduled for 30 September. Organise the CAUL response to the "Inquiry into technological protection measures (TPM) exceptions" Attend the WTO sessions as one of the IFLA CLM representatives in Hong Kong 12-13 December 2005.
<b>CAUL budget implications</b>	\$22,000 to support ALCC in 2006 Possible contribution to attend WTO meeting in Hong Kong

<p><b>Recommendations to CAUL</b></p>	<p><b>ALCC</b></p> <ol style="list-style-type: none"> <li>1. That CAUL continues to support the ALCC in 2006, and discusses with the Committee increased representation on university library issues.</li> <li>2. That when the current Copyright Advisor departs, CAUL considers future support of the ALCC based on the changed environment and the value it receives from the ALCC.</li> </ol> <p>(see attached discussion paper for background)</p> <p><b>WIPO recommendation</b></p> <p>That CAUL endorses the "Library-Related Principles for the International Development Agenda of the World Intellectual Property Organization" developed by IFLA CLM. ( see attached document)</p>
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Pro-forma updated 7 June, 2005

**Site Search**

IFLA CLM

**In This Document**

**Goal 1: A robust and growing public domain to provide new opportunities for creativity, research, and scholarship.**

**Goal 2: Effective library programs and services as a means of advancing knowledge.**

**Goal 3: High levels of creativity and technological progress resulting from individual research and study.**

**Goal 4: Harmonization of copyright.**

**French**

**Spanish**

**Polish**

**Committee on Copyright and other Legal Matters (CLM)****Library-Related Principles\* for the International Development Agenda of the World Intellectual Property Organization****January 2005****Goal 1: A robust and growing public domain to provide new opportunities for creativity, research, and scholarship.**

1.1. All works created by governmental authorities should be in the public domain.

1.2. Published works resulting from government-funded research should be publicly available at no charge within a reasonable time frame.

1.3. Facts and other public domain materials, and works lacking in creativity, should not be subject to copyright or copyright-like protections.

1.4. Consistent with the Berne Convention, the term of copyright should be the life of the author plus 50 years. The term of copyright should not be extended retroactively.

**Goal 2: Effective library programs and services as a means of advancing knowledge.**

2.1. A library may make copies of published and unpublished works in its collection for purposes of preservation or to migrate content to a new format.

2.2. A work that has been lawfully acquired by a library may be lent to others without further transaction fees to



be paid by the library.

2.3. A work that has been lawfully acquired by a library or other educational institution may be made available over a network in support of classroom teaching or distance education in a manner that does not unreasonably prejudice the rights holder.

2.4. Subject to appropriate limitations, a library or educational institution may make copies of a work in support of classroom teaching.

2.5. A library may convert material from one format to another to make it accessible to persons with disabilities.

2.6. In support of preservation, education or research, libraries and educational institutions may make copies of works still in copyright but not currently the subject of commercial exploitation.

### **Goal 3: High levels of creativity and technological progress resulting from individual research and study.**

3.1. Copyright laws should not inhibit the development of technology where the technology in question has substantial non-infringing uses.

3.2. Copying of individual items for or by individual users should be permitted for personal research and study.

3.3. It should be permissible to circumvent a technological protection measure for the purpose of making a non-infringing use of a work.

### **Goal 4: Harmonization of copyright.**

4.1 The goals and policies set out in this document should not be over-ridden by other bi-lateral or multi-lateral agreements.

4.2 The goals and policies set out in this document are important statements of national and international principle and should not be varied by contract.

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\* The foregoing principles were developed in December 2004 and were initially endorsed by the following library

associations: **American Association of Law Libraries**, **American Library Association**, **Association of Research Libraries**, International Federation of Library Associations and Institutions, **Medical Library Association**, and the **Special Libraries Association**. These principles were prepared for use in discussions at the World Intellectual Property Organization concerning the impact of intellectual property protection on economic development and the significance of copyright exceptions for libraries, educational institutions, and the disabled. These principles are not intended to serve as statutory language and thus do not reflect limitations and qualifications that would appear in such language.

January 26, 2005

Latest Revision: July 21 2005

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[www.ifla.org](http://www.ifla.org)

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## **Discussion paper on CAUL support for the Australian Libraries Copyright Committee (ALCC).**

**Eve Woodberry**

**September 2005**

ALCC emerged in 1994 following the demise of ACLIS, which had previously provided support for copyright issues for libraries. CAUL agreed to contribute \$22,000pa (\$20,000 plus GST) to support the ALCC based on the situation that CAUL members no longer paid subscriptions to ACLIS, and in the knowledge that copyright was a significant issue on the government's agenda.

The purpose of ALCC was and continues to be a focus for lobbying government, and building links with Attorney Generals and other Departments on behalf of libraries specifically on issues of copyright and intellectual property.

In the intervening years CAUL has agreed annually to continue to support the ALCC on the basis that the benefits, while uneven in recent years, have been worthwhile.

In 2005 there are changes occurring which make it essential to take the time to discuss the continued support of the ALCC.

The current environment is as follows:

- Australia has a revised Copyright Act in the Copyright Amendment (Digital Agenda) Act 2000,
- the 3 year review of the Act has occurred, though a response from the government has not yet been forthcoming.
- the changes required as a result of the USFTA are underway,
- the government has announced the demise of the CLRC.

Specific to CAUL, the AVCC has picked up the copyright ball again with the formation of the Information Policy and Strategy Forum (IPSF), the use of Expert Groups to advise it on the development of position papers specific to higher education, and Baker and McKenzie are available to provide legal advice. DEST has also become active in the copyright debate for education institutions, and while their focus is on schools and TAFE CAUL has been represented on the Committee formed to respond on copyright issues.

ALIA has also increased its activity in the copyright area with the Copyright and Intellectual Property (CIP) Committee, on which CAUL is represented. The Committee has a policy focus with Dr Matt Rimmer providing legal support and lobbying expertise.

In the past few years CAUL has continued to provide its own response to government Issues Papers, and is increasingly approached directly by government for input on copyright matters. CAUL initiated the discussions with government on the impact of the USFTA, and represented itself at the JSCOT hearings.

CAUL does benefit from the work being carried out by the ALCC Copyright Advisor in the copyright policy environment and from the connections with government, particularly Attorney Generals and DOCITA, and through the work of the ADA.

The \$22,000pa which CAUL contributes to the operation of the ALCC is a significant percentage of the ALCC's income (31%). CAUL and ALIA together contribute 62% of the income of the ALCC. ALCC budget papers reveal a healthy surplus in December 2004 which means that the ALCC could continue to operate for a period should this income change.

It is worth considering, in the changed conditions outlined above, whether CAUL is obtaining value for its investment and whether the ALCC is reaching the end of its useful life.

**Recommendations:**

1. That CAUL continues to support the ALCC in 2006, and discusses with the Committee increased representation on university library issues.
2. That should the current Copyright Advisor leave; CAUL considers their support for the ALCC based on the changed environment and the value it receives for its investment.

## CAUL Strategic Plan Report to CAUL

Author: Maxine Brodie

Date: 5 September 2005 (Final)

Date of previous report: 15 March 2005

<b>Section</b>	Advocacy and Communication: Relationships with Other Organisations
<b>Action</b>	Represent CAUL on the CAUDIT PKI Project Steering Committee
<b>Responsibility</b>	Maxine Brodie
<b>Time-line</b>	January-June 2005 (Stage 1)
<b>Activity since last report</b>	CAUDIT PKI Project Steering Committee Meeting met in Brisbane on 16 May (I was unable to attend because of the Management Frontiers US Trip)
<b>Achievements since last report</b>	Substantial work was done for this meeting on the project plan for a pilot PKI implementation.
<b>Publicity, reports, publications since last report</b>	N/A
<b>Plan for forthcoming activity</b>	<p>The CAUDIT PKI project has now been replaced by a newly funded ARIIC MERRI project:  <b><i>E – Security Framework for Research</i></b>  Lead Institution – University of Queensland      Funding \$649,000</p> <p><u>Scope</u>  Secure access and the authentication and authorisation of researchers, who access services and infrastructure across global networks, are fundamental building blocks for e-research. This project seeks to establish an E-Security framework which will integrate different two types of security systems, PKI and Shibboleth, to foster collaboration and enable the secure sharing of resources and research infrastructure within Australia and with international partners. The project will leverage off existing work in both areas, build on the advantages of these different systems and create a platform to enable the secure sharing of resources for and research infrastructure.</p> <p>Partners: Macquarie University, Council of Australian Directors of Information Technology (CAUDIT), Australian Partnership for Advanced Computing (APAC) and AARNet Pty Ltd</p>
<b>CAUL budget implications</b>	Nil
<b>Recommendations to CAUL</b>	Pilot Project complete. CAUL Executive to confirm CAUL representative on this project Steering Committee if required by Lead Institution.

Pro-forma updated 19 July, 2004.

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### CAUL Strategic Plan Report to CAUL

Author: John Arfield  
 Date: 5 September 2005  
 Date of previous report: 30<sup>th</sup> March 2005

<b>Section</b>	Advocacy and communication
<b>Action</b>	Relationships with other organisations – Kinetica Advisory Committee
<b>Responsibility</b>	John Arfield and Linda Luther
<b>Time-line</b>	Ongoing
<b>Activity since last report</b>	There have been no meetings of the KAC since the April 2005 meeting of CAUL. Recent progress on the Redevelopment Project can be found at <a href="http://www.nla.gov.au/kinetica/redevprojul05.html">http://www.nla.gov.au/kinetica/redevprojul05.html</a> . The next meeting will be held on 21 September, immediately before the Kinetica Annual Users Meeting, at which a major report and presentation on the cataloguing software will be made.
<b>Achievements since last report</b>	
<b>Publicity, reports, publications since last report</b>	
<b>Plan for forthcoming activity</b>	
<b>CAUL budget implications</b>	
<b>Recommendations to CAUL</b>	To note the report

Pro-forma updated 7 June, 2005

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## CAUL Strategic Plan Report to CAUL

Author: **Heather Gordon**

Date: September 7, 2005

Date of previous report: March 4, 2005

<b>Section</b>	Relationships with Other Organisations
<b>Action</b>	QULOC Activities
<b>Responsibility</b>	Convenor, QULOC
<b>Time-line</b>	ongoing
<b>Activity since last report</b>	QULOC University Librarians met on April 15 and August 4 and 5, 2005. The approved minutes are available at <a href="http://www.quloc.org.au/">http://www.quloc.org.au/</a> under QULOC Groups/University Librarians.
<b>Achievements since last report</b>	<ol style="list-style-type: none"> <li>1. QULOC has allocated funds to promote the QULOC strategic plan, activities and events through research and publication. The Research Grant Applications form and guidelines are available online from the QULOC website.</li> <li>2. QULOC have created a list of 23 Queensland serials not currently available in electronic form. The list has been circulated to select database vendors as possible new content. The listing will also be provided to CEIRC for information.</li> <li>3. The following QULOC seminars have been held in 2005: <ul style="list-style-type: none"> <li>• LibQUAL+ &amp; Rodski: A comparative insight</li> <li>• Dealing with Difficult Behaviours in Customers</li> <li>• EndNote Master Class: Advanced concepts for experienced EndNote trainers</li> <li>• New Communication Technologies in Libraries</li> <li>• Asking the Right Questions (scheduled for October 7)</li> </ul> </li> <li>4. The University Librarians Forum will be held on Nov 24, 2005 at Griffith University, Queensland College of Art, South Bank Campus. The panel discussion theme is Managing Up, Down and Around.</li> </ol>
<b>Publicity, reports, publications since last report</b>	The QULOC News, Issue 4, 2005 is available online.
<b>Plan for forthcoming activity</b>	The 2004 Annual Report will be available online from the website by October. The report includes reciprocal borrowing statistics for QULOC institutions.

Pro-forma updated 19 July, 2004.

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**CAUL Strategic Plan  
Report to CAUL**

Author: Bill Cations  
Date: 1 September 2005  
Date of previous report:

<b>Section</b>	Relationship with other organisations
<b>Action</b>	Unilibraries SA activities
<b>Responsibility</b>	Convenor, Unilibraries SA
<b>Time-line</b>	ongoing
<b>Activity since last report</b>	Unilibraries SA met on 22 April, 24 May and 2 August. The next meeting is scheduled for 11 October.
<b>Achievements since last report</b>	<ol style="list-style-type: none"> <li>1. The terms of reference and membership of all working groups were reviewed. Current working groups are : Best Practice Document Delivery Collaborative Collection Development Staff Development Systems Advisory Group Universities Research Repository South Australia</li> <li>2. The University of South Australia became a partner in the Universities Research Repository South Australia. Thus all three South Australian University libraries contribute research materials to the repository.</li> <li>3. A major extension to the Universities Research Repository was completed and is now operational.</li> <li>4. Staff from all three SA university libraries participated in a planning day to consider the future development of the Universities Research Repository. All policies and procedures were reviewed and an action plan agreed.</li> <li>5. The three university libraries jointly purchased and installed RLGs ILL Manager software. Implementation is in process.</li> </ol>
<b>Publicity, reports, publications since last report</b>	
<b>Plan for forthcoming activity</b>	A meeting with the convenors of all working groups is scheduled for October 2005 to co-ordinate planning.
<b>CAUL budget implications</b>	
<b>Recommendations to CAUL</b>	

Pro-forma updated 7 June, 2005

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## CAUL 2005/2 Finance Report

### INCOME 2005

1. **Publications.** Income from CAUL Performance Indicators (sold through CAVAL) and the Information Skills Survey is up to \$1242, over and above the budgeted income of \$400
2. **Interest.** Interest on the Foreign Currency Accounts, particularly the USD account, has exceeded expectations due to the improvement in US interest rates generally. FCA interest was originally budgeted at USD 5,000 but is already up to AUD 29,000.

### EXPENDITURE 2005

3. **CAUL Online Statistics Site.** The project was completed on time and budget. CONZUL contributed to 1/6<sup>th</sup> of the cost. The rest of the expenditure was to come from CAUL reserves, though the increased interest income has covered most of the cost.
4. **Expected expenditure vs budgeted expenditure.** The budget lines that are likely to be underspent by year-end are:

a. <b>President Travel</b>	<b>\$8,000</b>
b. <b>Representation of CAUL</b>	<b>\$5,000</b>
c. <b>Joint CCA meetings</b>	<b>\$3,000</b>
d. <b>Copyright meetings</b>	<b>\$2,000</b>
e. <b>Statistics Collection</b>	<b>\$12,000</b> (originally quoted at \$27,600, later negotiated down)
f. <b>ILWG</b>	<b>\$1,000</b>
g. <b>CEIRC research</b>	<b>\$5,000</b>
<b>Total</b>	<b>\$36,000</b>

### BALANCE 2005

The expected deficit is now an expected surplus for the year of approximately \$40,000.

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**INCOME 2006**

- a) **CAUL Membership Fees.** It is recommended that the base fee remain at \$4,500.
- b) **CEIRC Program Budget.** Membership for 2006 is expected to include 39 CAUL, 8 CONZUL and the CSIRO at the base fee, and 24 external participants. CAUL has previously recommended that the program achieve a surplus of around \$10,000. As the greatest proportion of program costs is related to salaries, it is recommended that the fee be increased annually by 5%, to \$1,260 for members and \$1,890 for external participants. The program surplus is budgeted at \$12,825.60
- c) **ADT Program Levy.** The 2006 budget is \$67,000. It is recommended that the program levy be increased from \$1,425 to \$1,530 to cover the costs. See the ADT Business Plan for further details.

**EXPENDITURE 2006**

- d) **CAUL Office Staffing.** The time of the Administration Officer has been tracked for over 12 months. Up to 88% of her time is given to CEIRC-related activities, including maintenance of the database (required essentially for reporting requirements to do with the CEIRC operational plan and the CAUL report), the bulk of the financial transactions, and the record-keeping related to CEIRC offers and renewals. It is therefore recommended that salary costs be divided accordingly between the CEIRC program and the main CAUL budget. They are currently divided 1:1. ANU salaries increased by 5% in 2005. The time of the Executive Officer is still allocated 65:35 between CAUL general and CEIRC.
- e) **CAUL Office additional support.** With the increased activity of the CEIRC program, less than 15% of the Administration Officer's time is allocated to general office support. An additional 15% FTE support is requested for other administrative activities @ HEW4 including o/c & salary management, ie an additional \$10,500 for 2006.
- f) **Equipment.** Office computers are cycled – each new computer is allocated to the Executive Officer, and the replaced one devolves to the Administration Officer. The purchase of a new computer in 2006 will replace one that is 3 years old, which in turn will replace the 6 year old machine. \$4,000 is requested.
- g) **Information Literacy Working Group.** The report's recommendation: There needs to be an allocation in the 06 budget for at least three teleconferences of the smaller ILWG group. \$1,000 is suggested.
- h) Members were invited to prepare a case for renewal of memberships: Alex Byrne for IFLA, Eve Woodberry for ALCC, Derek Whitehead for ADA and COUNTER, Andrew Wells for SPARC. Supporting papers are included in the agenda papers.
  - i) **IFLA Membership.** IFLA membership was approved for the 2005 budget. The fee in 2005 was EUR 1,000.
  - ii) **ALCC Membership.** Eve Woodberry recommends continuing the \$20,000 support for 2006.
  - iii) **ADA Membership.** Derek Whitehead recommends continuing the \$500 support for 2006-2008.
  - iv) **COUNTER Membership.** Derek Whitehead recommends continuing the USD support for 2006-2008.
  - v) **SPARC Membership.** Andrew Wells recommends that willing members contribute to the support of SPARC, on behalf of CAUL, at USD 5,000.

**BALANCE 2006**

The budgeted surplus for 2006 is \$18,636.

**Diane Costello**

**8 September 2005**

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**CAUL Budget 2005 (updated 8/9/05)**

Income	\$	Sub-Total	Expenditure	\$	Sub-Total	Balance	Expected expenditure to 31/8/05	Actual Expenditure to 7/9/05	\$	Assets and Liabilities 2003	Balance @ 31/12/04	Balance 2005 @ 7/9/05	
<b>OPERATING</b>													
Membership	180,000.00		Executive Officer (0.65)	67,600.00			45,066.67	44,130.45		<b>NON-CASH</b>			
Interest on Cash	14,311.61		Admin Assistant	33,306.00			22,204.00	20,071.49		Furniture cost		11,660.00	
CONZUL contribution	9,000.00		Office Expenses	7,000.00			4,666.67	3,083.11		Furniture depr.		-9,147.60	
			Audit & Accounting	7,300.00			4,866.67	1,908.75		Equipment cost		24,024.75	
Publications	1,242.00		Office Rental	8,190.00			5,460.00	5,286.63		Equipment depr.		-20,732.42	
		<b>204,553.61</b>	Equipment	0.00			0.00	0.00		<b>LIABILITIES</b>		<b>5,804.73</b>	
			CAUL Meetings	15,000.00			10,000.00	5,217.18		Research Levy 2004		20,000.00	
			Executive Meetings	12,000.00			8,000.00	8,539.75		Pre-payments for 2005 fees	10,959.00		
			President's Meetings	10,000.00			6,666.67	835.20		Trade Creditors	5,146.99	173,136.53	
			Representation of CAUL	5,000.00			3,333.33	0.00		GST Collected	87,357.01		
			Joint CCA Meetings	4,000.00			2,666.67	0.00		Carryover from 2002	5,147.00	5,147.00	
			Publications / Web Site	950.00			633.33	0.00			<b>108,610.00</b>	<b>178,283.53</b>	
			CAUL Achievement Award	6,000.00			4,000.00	5,522.65					
			IFLA Membership 2005	1,700.00			1,133.33	1,719.09					
							<b>176,346.00</b>	<b>28,207.61</b>	<b>118,697.33</b>	<b>96,314.30</b>			
<b>PROGRAMMES</b>													
<b>COPYRIGHT</b>													
ALCC Levy	20,000.00		ALCC Membership	20,000.00			13,333.33	20,000.00		<b>ASSETS</b>			
		<b>20,000.00</b>	ADA Membership	500.00			333.33	500.00		Cheque Account	833,978.04	398,840.53	
			Meetings	2,500.00			1,666.67	698.44		Petty Cash	100.00	100.00	
							<b>23,000.00</b>	<b>-3,000.00</b>	<b>21,198.44</b>	GST Paid	54,342.67		
										Trade Debtors	1,847.22	181,739.60	
<b>BEST PRACTICE</b>													
CONZUL contribution to stat	6,200.00	6,200.00	Statistics Publication	27,610.00			18,406.67	15,600.00			<b>890,267.93</b>	<b>580,680.13</b>	
			Statistics Meetings	1,000.00			666.67	120.18		<b>EXPECTED YEAR-END</b>			
			COUNTER Membership	850.00			566.67	0.00		<b>DATASETS ACCOUNT (AUD)</b>			
			ILWG	3,000.00			2,000.00	0.00		Datasets Income	791,072.28	95,728.61	
			Development of statistics softw	37,583.00			25,055.33	36,476.00		Datasets Expenditure	828,138.66	195,681.43	
							<b>70,043.00</b>	<b>-63,843.00</b>	<b>46,695.33</b>				
<b>ULA</b>													
		0.00	Meetings	0.00			0.00	0.00					
							<b>0.00</b>	<b>0.00</b>	<b>0.00</b>				
<b>Sub-Total (CAUL Programs)</b>		<b>236,953.61</b>					<b>269,389.00</b>	<b>-32,435.39</b>	<b>165,392.67</b>	<b>169,708.92</b>			
<b>RESEARCH &amp; DEVELOPMENT</b>													
	0.00		Research & Development	0.00			0.00	0.00		<b>FOREIGN CURRENCY ACCOUNT (USD)</b>			
		<b>0.00</b>					<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	Cheque Account @ 31/12	1,853,643.22	485,000.24	
<b>SCHOLARLY COMMUNICATION</b>													
	8,500.00		SPARC Membership	8,500.00			5,666.67	0.00		Interest Received	7,012.00	11,964.11	
		<b>8,500.00</b>					<b>8,500.00</b>	<b>0.00</b>	<b>0.00</b>	Liabilities	41,305.00		
<b>ADT</b>													
ADT Membership	59,850.00		Infrastructure (UNSW)	55,000.00			36,666.67	0.00		Datasets income	7,275,109.87	450,500.51	
		<b>59,850.00</b>	Meetings	2,000.00			1,333.33	545.14		Datasets expenditure	8,600,956.48	821,744.39	
			NTLTD Meetings	0.00			0.00	0.00		<b>FOREIGN CURRENCY ACCOUNT (EUR)</b>			
							<b>57,000.00</b>	<b>2,850.00</b>	<b>38,000.00</b>	<b>545.14</b>	Cheque Account @ 31/12	989,721.51	11,697.01
										Interest Received	2,281.96	6,611.27	
										Liabilities		0.00	
<b>CEIRC Program</b>													
CEIRC Levy (CAUL)	57,600.00		Executive Officer (0.35)	36,400.00			24,266.67	23,762.55		Datasets income	2,680,552.92	9,684.71	
CEIRC Levy (external)	41,400.00		CEIRC Assistant	33,306.00			22,204.00	20,071.71		Datasets expenditure	2,690,065.35	0.00	
		99,000.00	Meetings	15,000.00			10,000.00	9,952.79		<b>FOREIGN CURRENCY ACCOUNT (GBP)</b>			
Interest from Foreign Curren	28,908.00		Research	5,000.00			3,333.33	0.00		Cheque Account @ 31/12	68,237.06	42,599.39	
		<b>127,908.00</b>	ICOLC Meetings	5,000.00			3,333.33	4,260.49		Interest Received	395.84	868.39	
			CAUL-Industry ThinkTank	0.00			0.00	0.00		Liabilities		1,979.00	
							<b>94,706.00</b>	<b>33,202.00</b>	<b>63,137.33</b>	<b>58,047.54</b>			
<b>TOTAL INCOME / EXPENDITURE</b>		<b>433,211.61</b>					<b>429,595.00</b>	<b>3,616.61</b>	<b>266,530.00</b>	<b>228,301.60</b>	Datasets income	211,548.20	10,599.50

**Cell:** A6

**Comment:** CAUL Executive Officer:  
40 CAUL members @ \$4,500

**Cell:** E6

**Comment:** CAUL Executive Officer:  
1. EO full costs = salary, on-costs, salary admin, travel not related to specific program - divided 65/35 between CAUL and CEIRC

**Cell:** M6

**Comment:** CAUL Executive Officer:  
from 1995

**Cell:** B7

**Comment:** CAUL Executive Officer:  
19,000 in 2003; 14,741 @31/7

**Cell:** E7

**Comment:** CAUL Executive Officer:  
Salary increase 5.5% 1/12/04

**Cell:** M8

**Comment:** CAUL Executive Officer:  
from 1995

**Cell:** B10

**Comment:** CAUL Executive Officer:  
1242@31/7

**Cell:** F10

**Comment:** CAUL Executive Officer:  
315+GST per fortnight

**Cell:** E12

**Comment:** CAUL Executive Officer:  
Includes \$3,000 for meeting guest speakers, \$4,000 for SkyCity

**Cell:** N13

**Comment:** CAUL Executive Officer:  
incl. Devt of statistics site & new CEIRC members

**Cell:** M16

**Comment:** CAUL Executive Officer:  
InfoLitProject &PI web site

**Cell:** E18

**Comment:** CAUL Executive Officer:  
\$5000 + travel expenses for presentation at CAUL meeting

**Cell:** E19

**Comment:** CAUL Executive Officer:  
Approved CAUL2004/2

**Cell:** A24

**Comment:** CAUL Executive Officer:  
40 CAUL members

**Cell:** E26

**Comment:** CAUL Executive Officer:  
1xALCC,CLRCSydney,LobbyingCanberra,?Zwolle,?IFLA?

**Cell:** E31

**Comment:** CAUL Executive Officer:  
Library Consortium £335 (\$500)

**Cell:** K31

**Comment:** CAUL Executive Officer:

**Cell:** E33

**Comment:** CAUL Executive Officer:  
Approved CAUL 2005/2

**Cell:** N43

**Comment:** CAUL Executive Officer: o/s invoice to OUP which it claims has been paid PAID 1/6/05

**Cell:** O43

**Comment:** CAUL Executive Officer: o/s  
+ 302000 recd in advance from UQ

**Cell:** A44

**Comment:** CAUL Executive Officer:  
40 X \$500 in 2004; no levy in 2005

**Cell:** E44

**Comment:** CAUL Executive Officer:  
Income from 2004 recorded in liabilities

**Cell:** E47

**Comment:** CAUL Executive Officer:  
USD5,000 (est.AUD 8,500)

**Cell:** C48

**Comment:** CAUL Executive Officer:  
Sponsored by individual CAUL members USD5,000

**Cell:** K48

**Comment:** CAUL Executive Officer:  
USD 5,000 paid in advance in 2004

**Cell:** A50

**Comment:** CAUL Executive Officer:  
40 CAUL members + 2 CONZUL

**Cell:** E52

**Comment:** CAUL Executive Officer:  
UNSW bearing expense

**Cell:** A56

**Comment:** CAUL Executive Officer:  
39 CAUL members, CSIRO & CONZUL = 48\*1200

**Cell:** A57

**Comment:** CAUL Executive Officer:  
23 external participants @1,800

**Cell:** B59

**Comment:** CAUL Executive Officer:  
USD5000 in 2003, originally budgeted for 2005 at USD 5000, actual amount now included

**Cell:** F60

**Comment:** CAUL Executive Officer:  
1 meeting only in 2005?

**Cell:** O62

**Comment:** CAUL Executive Officer:  
39419 recd in advance for cup2005

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Cell: A6

Comment: CAUL Executive Officer:  
40 CAUL members @ \$4,500

Cell: E6

Comment: CAUL Executive Officer:  
1. EO full costs = salary, on-costs, salary admin, travel not related to specific program - divided 65/35 between CAUL and CEIRC, salary 84k from 11/05

Cell: M6

Comment: CAUL Executive Officer:  
from 1995

Cell: B7

Comment: CAUL Executive Officer:  
19,000 in 2003; 5727 @2/3/05

Cell: E7

Comment: CAUL Executive Officer:  
< 15% time allocated to general CAUL activity HEW4 incl o/c & salary mgmt plus extra hours 0.15 for admin support

Cell: A8

Comment: CAUL Executive Officer:  
9000 minus CEIRC contribution for external 8\*630=5040

Cell: M8

Comment: CAUL Executive Officer:  
from 1995

Cell: F10

Comment: CAUL Executive Officer:  
315+GST per fortnight

Cell: E11

Comment: CAUL Executive Officer:  
replace PC purchased May 2000

Cell: N13

Comment: CAUL Executive Officer:  
incl. Devt of statistics site & new CEIRC members

Cell: M16

Comment: CAUL Executive Officer:  
InfoLitProject &PI web site

Cell: M17

Comment: CAUL Executive Officer:  
13.5 weeks LSL owing @ 18/8/05 @ \$1615/wk + o/c & replacement staff

Cell: E18

Comment: CAUL Executive Officer:  
\$5000 + travel expenses for presentation at CAUL meeting

Cell: E19

Comment: CAUL Executive Officer:  
Approved CAUL2004/2

Cell: A24

Comment: CAUL Executive Officer:  
40 CAUL members

Cell: E26

Comment: CAUL Executive Officer:  
1xALCC,CLRCSydney,LobbyingCanberra,?Zwolle,?IFLA?

Cell: E31

Comment: CAUL Executive Officer:  
Library Consortium £335 (\$500)

Cell: N43

Comment: CAUL Executive Officer: o/s invoice to OUP which it claims has been paid

Cell: O43

**Comment:** CAUL Executive Officer: o/s 41,305 invoice to OUP which it claims has been paid. +  
88138 receivable  
490728 payable + 302000 recd in advance from UQ

Cell: A44

**Comment:** CAUL Executive Officer:  
40 X \$500 in 2004; no levy in 2005

Cell: E44

**Comment:** CAUL Executive Officer:  
Income from 2004 recorded in liabilities

Cell: E47

**Comment:** CAUL Executive Officer:  
USD5,000 (est.AUD 8,500)

Cell: C48

**Comment:** CAUL Executive Officer:  
Sponsored by individual CAUL members USD5,000

Cell: A50

**Comment:** CAUL Executive Officer:  
40 CAUL members + 4 CONZUL

Cell: E53

**Comment:** CAUL Executive Officer:  
USD7,500

Cell: A57

**Comment:** CAUL Executive Officer:  
39 CAUL members, CSIRO & CONZUL = 48\*1260

Cell: A58

**Comment:** CAUL Executive Officer:  
24 external participants @1,890 + CONZUL external contribution

Cell: E58

**Comment:** CAUL Executive Officer:  
>85% time on CEIRC activity

Cell: F61

**Comment:** CAUL Executive Officer:  
1 meeting only in 2006

Cell: O63

**Comment:** CAUL Executive Officer:  
39419 recd in advance for cup2005

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## **CAUL – Budget – Memberships 2006**

### **Membership of the Australian Digital Alliance**

1. The CAUL strategic plan should guide the decision.  
*CAUL's strategic plan has a strong emphasis on copyright, and the ADA + the ALCC is the major strategy for providing a significant resource in this area.*
2. The benefit must be direct and relate to CAUL's strategic plan.  
*In supporting the ADA CAUL is joining with like-minded organisations to provide a resource (a skilled and knowledgeable person) for lobbying, drafting, commenting, and providing advice and information on core issues of concern.*
3. CAUL should belong to organisations for transactional reasons or direct material benefit, not for affiliate or common goal reasons.  
*CAUL is effectively employing a person and carrying out functions for it.*
4. Alliances are important, but if not of direct benefit, CAUL should offer to be an associate or affiliate with respect to communication, exchange of newsletters  
*There is a direct benefit in support of CAUL's copyright agenda.*

Note that this complements the case for membership of the Australian Libraries Copyright Committee (ALCC) since the great bulk of funding in both cases goes towards the same end.

This should be reviewed again in three years time (end of 2008), since the ADA needs a reasonable assurance of continuity.

Derek Whitehead  
6 September 2005

## **CAUL – Budget – Memberships 2006**

### **Membership of COUNTER**

1. The CAUL strategic plan should guide the decision.  
*CAUL has a significant emphasis on statistics as a service provided to members. It has recently invested money in upgrading and enhancing its statistics. The COUNTER project aims to develop standard approaches which will make it easier to provide statistics in an areas of weakness – use of online information resources.*
2. The benefit must be direct and relate to CAUL's strategic plan.  
*The direct benefit in belong to COUNTER is the ability to influence and contribute to the development of new standards in the area of statistics.*
3. CAUL should belong to organisations for transactional reasons or direct material benefit, not for affiliate or common goal reasons.  
*Contribution to the work of COUNTER is a transactional reason.*
4. Alliances are important, but if not of direct benefit, CAUL should offer to be an associate or affiliate with respect to communication, exchange of newsletters  
*COUNTER is not an alliance but a working party. CAUL contributes both knowledge and effort, and a fee.*

This should be reviewed again in three years time (end of 2008), since COUNTER needs a reasonable assurance of continuity, and its standards for data collection will be fairly mature and tested by then.

Derek Whitehead  
6 September 2005

### CAUL Strategic Plan Report to CAUL

Author: Andrew Wells  
Date: 6 Sept 2005  
Date of previous report: N/A

<b>Section</b>	IV.COMMUNICATION & ADVOCACY
<b>Action</b>	Affiliate membership of SPARC
<b>Responsibility</b>	CAUL Executive
<b>Time-line</b>	Ongoing
<b>Activity since last report</b>	Go8 Libraries agreed to pay affiliate membership on behalf of CAUL for 2004 and 2005.  Recommend CAUL maintain its affiliate membership. SPARC meets CAUL guidelines for external membership, particularly the fourth: "Alliances are important, but if not of direct benefit, CAUL should offer to be an associate or affiliate with respect to communication, exchange of newsletters etc".
<b>Achievements since last report</b>	N/A
<b>Publicity, reports, publications since last report</b>	SPARC has maintained its high profile in advocacy for open access and changes in scholarly communication. Materials are available on SPARC web site ( <a href="http://www.arl.org/sparc">http://www.arl.org/sparc</a> )
<b>Plan for forthcoming activity</b>	Retain affiliate membership. CAUL Executive Officer to continue bringing SPARC initiatives to attention of CAUL members.
<b>CAUL budget implications</b>	Majority of Go8 members have indicated willingness to continue paying affiliate membership. No overall expense in CAUL budget.
<b>Recommendations to CAUL</b>	<ol style="list-style-type: none"> <li>1. Continue SPARC membership for 2006 @ USD 5,000</li> <li>2. Review in 2006</li> <li>3. Invite other CAUL members outside Go8 to contribute to membership fee.</li> </ol>

Pro-forma updated 7 June, 2005

### CAUL Strategic Plan Report to CAUL

Author: CAUL Executive

Date: 31 August 2005

<b>Section</b>	IV.COMMUNICATION & ADVOCACY
<b>Action</b>	21. Take up membership of IFLA (the International Federation of Library Associations) in 2005 and review its benefit to CAUL.
<b>Responsibility</b>	CAUL Executive
<b>Time-line</b>	ongoing
<b>Activity since last report</b>	The World Library and Information Congress was held by IFLA in Oslo in August 2005 and included relevant business meetings.
<b>Achievements since last report</b>	<p>Considerable activity especially in regard to intellectual property including a session on Free Trade Agreements organised by Eve Woodberry as a member of the IFLA Committee on Copyright and other Legal Matters (CLM).</p> <p>Major interventions in WIPO, WTO, WSIS, Unesco, etc.</p> <p>Developments in information literacy including IFLA hosting of the second International Information Literacy Experts' Meeting in Nov 2005 (Note: Judith Peacock, QUT, on Information Literacy Standing Committee).</p>
<b>Publicity, reports, publications since last report</b>	Various statements and reports available on IFLA website.
<b>Plan for forthcoming activity</b>	<p>With the participation of CAUL, SCONUL, ARL and other associations of academic libraries, IFLA is a key forum for addressing international strategic issues of concern to academic and research libraries and developing alliances with other library sectors to achieve desired ends. IFLA's UN accreditation provides access to intergovernmental fora in which major issues affecting academic libraries are considered.</p> <p>Through CLM contribute to the WIPO Development Agenda, and WTO, on issues on copyright and intellectual property as they relate to libraries and access to knowledge.</p>
<b>CAUL budget implications</b>	EUR 1,000
<b>Recommendations to CAUL</b>	<p>IFLA is the international body for library associations and institutions, that CAUL</p> <ol style="list-style-type: none"> <li>1. Continue IFLA membership for 2006</li> <li>2. Review in 2006</li> <li>3. Prepare to nominate Australian members to key standing committees in the 2007 election process.</li> </ol>

Pro-forma updated 7 June, 2005



## Report to CAUL 2005/2

(Parts of this report have been extracted from previous reports to the Executive Committee)

### CAUL Office.

Rachelle Morgan's first year was completed on April 20. In that time, she has largely taken over the administration of the CEIRC program, both responses to Datasets Coordinators, compilation and maintenance of the CEIRC database, office procedures and finance administration. This leaves most of the dealing with vendors, negotiations and licences to Diane Costello, along with financial overview, reports and audit management. Rachelle's time is 88% CEIRC and 12% other CAUL administration, most of which relates to committee travel and other finance-related matters.

A major activity for Rachelle has been the re-establishment of the CAUL database (under MS Access). It is largely a record of CEIRC subscriptions, institutions and vendors, but is more broadly a CAUL database – a one-stop shop for details of CAUL members. Any required lists will be able to be extracted from the database. The final CEIRC subscriptions data is being entered now. This includes list price versus price paid under CAUL agreements.

Rachelle undertook a web publishing course in July. This will eventually allow me to delegate some of the more mechanical aspects of the web site maintenance, however the bulk of publishing requires writing and editing which will stay with me. The actual "publishing" part is relatively trivial. I purchased a Dreamweaver software licence to test its usefulness in the current environment.

### Executive Officer Activity.

#### Finance.

I am reviewing options for online banking for both the Australian account and the foreign currency accounts. Factors to be taken into account are costs (setup and transactional), convenience (time not spent waiting for bank staff to process foreign currency transactions, plus ease of use for Vic Elliott) and security (the really big one, and the potential deal-breaker).

The auditor is still working on the 2004 accounts, which involved my tracing and confirming a number of unclear transactions. I upgraded the ECI (electronic commerce interface) ready for updating CAUL's digital ATO certificates in the new year. I completed the quarterly BAS.

#### CEIRC.

82 offers or renewals have been issued since the end of April, the bulk in July/August. Most renewals were processed for distribution by the end of August, with a view to finalisation by the end of October with invoicing in November.

The most complex and time-consuming of these has turned out to be the ProQuest 5000 renewal because of two issues raised with the usage statistics which form the basis for a third of the cost allocation. The first and easily fixed issue was that all ProQuest databases were counted, rather than only the PQ5000 databases. Amending these data resulted in no change to the cost allocation bands. The second issue was raised because Swinburne's usage increased by 719% over the previous year. This was traced to the way that federated searching is handled (at Swinburne?). The CEIRC committee has considered a proposal that citations/abstracts not be counted, and only full-text downloads be considered when allocating costs, but is recommending that all usage be counted.

April 26 – May 21 inclusive. Recreation Leave.

### Meeting Planning.

#### SCONUL.

There has been a considerable amount of correspondence relating to the SCONUL visit in September, including preparations for a small group to visit Canberra. They visited the CAUL Office (and I conducted a presentation on CAUL and its activities), the ANU and the National Library. I invited local CAUL staff to the CAUL presentation, and arranged a dinner (hosted by Vic Elliott, ANU) with the local CAUL members and Warwick Cathro, representing Jan Fullerton.

The tour schedule and participants' details are linked from the CAUL meetings web page.

### Meeting planning, preparation and minutes.

April 3. CAUL executive, Auckland, NZ.

April 3. International engagement by CAUL, Auckland, NZ.

April 4. CAUL/CONZUL 2005/1. Auckland, NZ.

April 19-20. CEIRC Meeting. Sydney

June 6. CAUL Executive, Brisbane, in conjunction with CCA joint executive.

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President: **Eve Woodberry**, *University Librarian, University of New England*

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caul@caul.edu.au  
eve.woodberry@une.edu.au  
<http://www.caul.edu.au/>

June 16. CEIRC Meeting, Sydney.  
 August 3. CAUL Executive Meeting, Sydney  
 August 31. CEIRC Committee Meeting, Sydney

**.... in preparation ..... venues, agenda, travel**

September 14-16. CAUL Meeting 2005/2 & associated meetings, Brisbane  
 September 28. ADT Policy Reference Group & associated meetings, Sydney  
 November 14. CAUL Statistics Focus Group, Melbourne  
 November 15. CEIRC Committee Meeting, Melbourne  
 November 16. CCA Joint Meeting, Melbourne  
 November 16. CAUL Executive Meeting, Melbourne

**Meetings held with ....**

June 29. Russell Livermore, Walter Turnbull re CAUL audit for 2004  
 August 12. Russell Livermore, Walter Turnbull re CAUL audit for 2004  
 August 15. Imogen Garner re practice-based research and the CAUL Best Practice web pages, teleconference.  
 September 1. SCONUL visitors (5) – presentation on CAUL and its activities.  
 September 7. Visitors from India, arranged by the National Library, to discuss licensing of electronic resources. Mr. Umesh Gohel, Project Leader, INFLIBNET Centre, (An Inter University Centre of University Grants Commission, Ministry of Human Resource & Development, Government of INDIA); H.G.Hosamani, Scientist-B INFLIBNET Centre, U.G.C  
 September 8. Jeff Murray & Derek Whitehead re planning of workshop on management information. Teleconference.

**CEIRC-related meetings ....**

April 6. Richard Steeden, EBSCO. Auckland, NZ.  
 Maryce Johnstone, Thomson Gale.  
 Julie Stevens. ProQuest.  
 Brad Rosairo, CSA-Thorpe-Bowker.  
 April 8. NLA's National Site Licence Working Group. Teleconference.  
 April 10-12. ICOLC. Boston, MA  
 April 12. Neil Lader, American Psychological Association. Boston, MA.  
 May 24. Andrea Gilbey. Elsevier Science.  
 May 27. NLA's National Site Licence Working Group. Teleconference.  
 June 7. Julie Stevens, ProQuest  
 June 8. National Site Licence Working Group (NSL) forum, Canberra  
 June 9. Berndt Hess from Thieme with Vicki O'Neill from iGroup  
 June 16. CEIRC Committee, Sydney  
 June 21. Gayle Villaume & Andrew Bennetto, DA Information Services  
 June 29. Tamara Joyner, Nature Publishing Group  
 July 8. Barbara Rockenbach & Bruce Heterick, JSTOR re ARTstor, teleconference  
 July 12. NSL teleconference.  
 July 13. Emma Bowen, Lexis Nexis  
 August 1. Sarah Blatchford, Taylor & Francis.  
 August 4. National Licensing Working Group teleconference on pricing models.  
 August 10. Lian Todd and Andrew Bennetto, DA, teleconference  
 August 19. Chris Hayward and Dr Chris Mount from the Federal Department of Health & Ageing eHealth Policy Branch re licensing of medical resources nationally.  
 August 30. CEIRC committee meeting with Wiley personnel re renewal of CAUL contract from 2007, Sydney.  
 September 1. National Licensing Group Teleconference on pricing models.  
 September 2. Jon Ward, Ovid.

**... and forums attended ....**

June 9. Chris Rusbridge, Digital Curation Centre, NLA, Canberra.  
 July 8. Elsevier Science Library Connect Forum, Canberra  
 July 26. Sustainable and Unsustainable Digital Collections in Universities. APSR presentation, ANU  
 July 27. Digital challenges. Presentation by Colin Steele following Management Frontiers tour of the US in May 2005.  
 August 24. Kerry Blinco presentation about her work with DEST/JISC (UK) funded 'eFramework' initiative and other related elearning activities

Diane Costello  
 9 September, 2005

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**President: Eve Woodberry**, *University Librarian, University of New England*

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