

“ENRICHING THE COLLECTIVE RESOURCES”: AN HISTORICAL ANALYSIS OF  
THE NETWORK OF ALABAMA ACADEMIC LIBRARIES, 1984–2009

by

ANN BOURNE

ELIZABETH AVERSA, COMMITTEE CHAIR  
ANDREW HUEBNER  
MARGOT LAMME  
CHARLES OSBURN  
JEFF WEDDLE

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## ABSTRACT

This study examines the origins and evolution of the Network of Alabama Academic Libraries (NAAL), from 1984-2009, distinguishes achievement factors leading to success of the network, and explores issues to inform future decisions. The study focuses on the organization of NAAL; the pioneers who envisioned and encouraged the inception, development, and expansion of the network; and mitigating situational influences. Data were gathered through investigation of oral histories and primary documents, and analysis was made through an organizational life cycle framework to organize evidence characterizing NAAL's evolution. Highlights of the twenty-five-year timeline included a catalog describing the collections of academic libraries statewide, best practices for statewide collection development, expedited interlibrary loan, a statewide virtual library for all citizens of Alabama, and digitized collections of Alabama's unique historical treasures. Against a backdrop of advancing technology and hybrid funding, the most significant factors identified as affecting the sustained success of the network are inventive leadership, collective momentum, and strategic visibility.

DEDICATION

For Sue Medina.

*Courageous. Tenacious. Gracious. Efficacious.*

## LIST OF ABBREVIATIONS

ACHE	Alabama Commission on Higher Education
ACRL	Association of College and Research Libraries
ADAH	Alabama Department of Archives and History
ADPNet	Alabama Digital Preservation Network
AHA	American Historical Association
ALA	American Library Association
ALLA	Alabama Library Association
APLS	Alabama Public Library Service
ARPANET	Advanced Research Projects Agency Network
ASERL	Association of Southeastern Research Libraries
AVL	Alabama Virtual Library
IMLS	Institute for Museum and Library Services
LOCKSS	“Lots of Copies Keep Stuff Safe”
LSCA	Library Services and Construction Act
MARC	Machine-Readable Cataloguing
NAAL	Network of Alabama Academic Libraries
OAH	Organization of American Historians
OCLC	Ohio College Library Center; Online Computer Library Center
OHA	Oral History Association
PLN	Private LOCKSS Network

RLG	Research Libraries Group
SLA	Special Libraries Association, a division of ALA
SOLINET	Southeastern Library and Information Network

## NAAL TIMELINE<sup>1</sup>

- 1933 Establishment of Triangle Research Libraries Network, one of the first formally organized academic library consortia in the United States, initiated in North Carolina.<sup>2</sup>
- 1967 Incorporation of Ohio College Library Center (OCLC).
- 1969 Authorization of Alabama Commission on Higher Education (ACHE) by Alabama law, Act. No. 14, Special Session as statutory coordination board for postsecondary education in Alabama.<sup>3</sup>
- Exchange of information through computer networks started with Advanced Research Projects Agency Network (ARPANET), precursor to the Internet.
- 1971 Availability of shared online cataloging in libraries enabled by OCLC WorldCat union catalog.
- 1972 Publication of *Guidelines for Library Cooperation: Development of Academic Library Consortia* by Ruth J. Patrick.
- 1974 Development of Research Libraries Group (RLG) by Columbia, Harvard, and Yale Universities and New York Public Libraries.<sup>4</sup>

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<sup>1</sup> This timeline provides context and origin for the study. Selectively adapted from Synthia Cole, "LYRISIS Congratulates Sue Medina and the Network of Alabama Academic Libraries," *Solutions* (November 2009): 14-15, <http://www.lyrasis.org> (accessed March 6, 2010); Sue Medina, "The Alabama Vision," *Against the Grain* (February 2008): 28-29, [http://www.against-the-grain.com/TOCFiles/20-1\\_Medina.pdf](http://www.against-the-grain.com/TOCFiles/20-1_Medina.pdf) (accessed March 4, 2010); and the Alabama Commission on Higher Education publication "Network of Alabama Academic Libraries: Celebrating Twenty-Five Years of Successful Collaboration 1984-2009, Updated, October 2009," <http://www.ache.state.al.us/NAAL/NAAL%201984-2009.pdf> (accessed January 7, 2010).

<sup>2</sup> Duke University and University of North Carolina at Chapel Hill libraries developed the Joint Committee on Intellectual Cooperation. For a discussion of the Triangle Research Libraries Network history, see Gary D. Byrd, Jimmie Y. Davis, William A. Gosling, and L. Russell Herman, Jr., "The Evolution of a Cooperative Online Network," *Library Journal* (February 1, 1985): 71-77. For brief overviews of early library consortia in the United States, see Lois Mai Chan, *Cataloging and Classification: An Introduction*, 3<sup>rd</sup> ed. (1981, Lanham, MD: Scarecrow Press, 2007), 5-11, and Sharon L. Bostick, "Academic Library Consortia in the United States," *Liber Quarterly* 11, no. 1 (2001): 6-7.

<sup>3</sup> Alabama Commission on Higher Education Administrative Code, <http://www.alabamaadministrativecode.state.al.us/docs/hged/300-1-1.pdf> (accessed September 19, 2012).

<sup>4</sup> James Michalko, "RLG," in *Encyclopedia of Library and Information Science*, 2003 ed.

- 1980 Focus on graduate education and research resources by Alabama’s institutions of higher learning, Alabama Commission on Higher Education (ACHE) and its advisory councils—including the Council of Presidents and the Council of Graduate Deans, and the Council of Librarians—to determine outstanding needs of academic libraries and establish oversight for improving access to information.
- Review of academic libraries in Alabama initiated by Council of Librarians.
- 1982 Publication of five reports by Council of Librarians to assess “the collective ability of the academic libraries to support graduate education...found the libraries of the state lagging far behind their peers in book and serial collections, staffing, facilities, use of technology, and access to external resources.”<sup>5</sup>
- Establishment of a cooperative network of Alabama academic libraries recommended by ACHE upon endorsement from Council of Graduate Deans, the Council of Academic Officers, and the Council of Presidents.<sup>6</sup>
- 1983 Appointment of consultant Norman Stevens by NAAL Interim Advisory Council to assist in development of strategic plan for NAAL activities.<sup>7</sup>
- 1984 Introductions of Apple MacIntosh and Sony Discman in Monterrey, California, at the first TED conference.<sup>8</sup>
- Introduction of first desktop laser printer, HP Laser-Jet, by Hewlett-Packard.
- Sale offering of first cellular phone by Motorola.

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<sup>5</sup> Sue O. Medina and William C. Highfill, “Effective Governance in a State Academic Network: The Experience of the Network of Alabama Academic Libraries,” *Library Administration and Management* 6 (Winter 1992): 15. Here, the authors explained that “the report recommended the establishment of a network to identify ways in which the state’s academic institutions might cooperate and provide a mechanism for those resource-sharing activities.” This strategic decision laid the groundwork for NAAL’s “core of advocates at the highest administrative levels of each campus.”

<sup>6</sup> See the complete study prepared by the Alabama Commission on Higher Education, Council of Librarians, *Cooperative Library Resource Sharing Among Universities Supporting Graduate Study in Alabama* (Montgomery, AL: Alabama Commission on Higher Education, 1983). Charter member included the following public and private schools as well as ACHE: Alabama A&M University, Alabama State University, Auburn University, Auburn University at Montgomery, Birmingham-Southern College, Jacksonville State University, Livingston University, Samford University, Troy State University, Tuskegee University, University of Alabama, University of Alabama at Birmingham, University of Alabama in Huntsville, University of Montevallo, University of North Alabama, and University of South Alabama.

<sup>7</sup> Stevens’s background in library technology and consortia included service with regional New England Library and Information Network (NELINET), OCLC, and Connecticut Library and Information Network (CONNLINET).

<sup>8</sup> TED conference founder Richard Saul Wurman recognized a centering of “Technology, Entertainment and Design.” The 1984 event showcased the newly minted Macintosh computer and Sony compact disc player. “About TED History,” <http://www.ted.com> (accessed April 20, 2011).



- 1984, continued      Appointment of University of North Alabama Dean of Library Services Fred Heath as part-time interim director of NAAL.
- Bylaws for the Network approved by Interim Advisory Council.
- Memorandum of Agreement between NAAL members and ACHE adopted by Interim Advisory Council.
- Dissolution of NAAL Interim Advisory Council and establishment of NAAL Advisory Council.
- Coordination of academic library resource sharing enabled by state funding for and formal organization of NAAL.
- Allocation of \$580,342 from State legislature to ACHE for NAAL.
- Identification of statewide retrospective conversion program as NAAL's initial enterprise.
- 1985                      Appointment of Sue Medina as full-time director of NAAL.<sup>9</sup>
- “Statement Concerning General Membership” and “Statement Concerning Cooperative Membership” adopted by NAAL membership.
- Adoption of First Annual (FY 1985-1986) Plan.
- “Use of NAAL Funds for Collection Development” policy adopted.
- Addition of 456,280 items to OCLC WorldCat in first year of NAAL retrospective conversion effort.
- Approval of Resource Sharing Program to promote interlibrary lending among members.
- Election of Alabama Department of Archives and History (ADAH), Alabama Public Library Service (APLS), Air University Library at Maxwell Air Force Base, Redstone Arsenal Scientific Information Center, and Spring Hill College as NAAL cooperative members.
- Co-sponsorship of *Plans and Recommendations for an Alabama Library Network* by APLS and NAAL.
- 1986                      Appointment of Planning Committee approved to consider NAAL's progress, goals, and objectives.

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<sup>9</sup> Medina earned her Ph.D. in Library Science from Florida State University. Her advanced studies focused on organizational role and change. Her academic background also includes M.S. (library science) and B.A. (history) degrees.

- 1986, continued      Allowance of bylaws revision to allow General Membership fees to be managed through a Contingency Fund maintained by the University of Montevallo on behalf of NAAL.
- Election of Spring Hill College to NAAL general membership.
- Election of Birmingham Public Library to NAAL cooperative membership.
- 1987                    Election of Troy State University at Dothan to NAAL cooperative membership.
- Publication of *Collection Assessment Manual* followed by distribution to NAAL members.
- Endorsement from ACHE to mandate collection assessments for public academic institutions applying for approval of new academic programs in accordance with NAAL procedures.
- 1988                    Publication of *Major Microform Sets Held in Alabama Libraries, a Union List and Guide* by NAAL.
- Gathering of first NAAL planning retreat, Orange Beach, Alabama.
- Election of Troy State University at Dothan to NAAL general membership.
- Election of Mobile College NAAL cooperative membership.
- 1989                    Proclamation of electronic document delivery for interlibrary loan (ILL) by Governor Guy Hunt using first NAAL telefacsimile network as delivery mode.
- Amendment of bylaws to include appeal of actions of NAAL Advisory Council.
- Election of U.S. Sports Academy to NAAL general membership.
- Approval of United Parcel Service (UPS) for delivery of interlibrary loan materials not appropriate for telefacsimile transfer.
- Gathering of second NAAL planning retreat.
- 1990                    Award of first NAAL research grants to Tuskegee University, Auburn University, and University of Alabama to bolster additions of unique research materials.
- Gathering of third NAAL planning retreat.
- Grant award to NAAL for developing inventory of art held by Alabama libraries by Alabama Council on the Arts and Humanities granted funding to NAAL.
- Retirement of Joseph Sutton, longtime executive director of ACHE, and highlight of NAAL as an outstanding achievement of ACHE during his years of service.

- 1991 Introduction of public access to World Wide Web.
- Gathering of fourth NAAL planning retreat, including discussion of implementing Myers-Briggs Inventory to facilitate developing successful working relationships.
- Adoption of “An Electronic Gateway to Information: Networking for the Nineties” provided a plan to link library systems electronically for access to information databases and foreshadowed a statewide virtual library system.
- 1992 Gathering of fifth NAAL planning retreat.
- Distribution of electronic and paper copies of *Alabama’s Major Microform Collections: The Enlarged and Revised Edition* to NAAL members.
- Acceptance of Auburn University as member in Association of Research Libraries (ARL).
- 1993 Gathering of sixth NAAL planning retreat.
- Invitation to Supreme Court Library to become NAAL cooperative member.
- Election of Mobile College to NAAL cooperative membership.
- 1994 Launch of Netscape web browser and simplified user information seeking behaviors.
- Gathering of seventh NAAL planning retreat.
- Designation of NAAL as publicly supported, tax-exempt 501(c)3 organization.
- Development of NAAL and Alabama Supercomputer Authority Memorandum of Agreement to promote connection of NAAL academic institutions to the Internet.
- 1995 Release of Internet Explorer web browser.
- Presentation of keynote speakers Kate Nevins, executive director of SOLINET, and Anne Edwards, University of Alabama Libraries faculty at NAAL planning retreat.
- Election of Marine Environmental Sciences Consortium to NAAL cooperative membership.
- 1996 Licensing of first online database, Expanded Academic ASAP, for shared statewide access among General Members.
- Election of Athens State College to NAAL general membership.
- Concept of statewide virtual library approved by Advisory Council.

- 1997                    Promotion of Alabama Virtual Library (AVL) through presentation of virtual library room at Alabama Educational Technology Conference.
- Election of Troy State University Montgomery to NAAL corporate membership
- 1998                    Presentation by Charles Miller, Florida State University library director, at NAAL planning retreat.
- Review of possible digitization of library resources by NAAL Digitizing Content Task Force.
- 1999                    Demonstration of emerging technologies statewide through multiple professional development and vendor presentations.
- Election of Troy State University at Montgomery to NAAL general membership.
- Election of Faulkner University to NAAL cooperative membership.
- NAAL planning retreat featured speaker Lamar Veatch, newly appointed director of the Alabama Public Library Services (APLS).
- Provision of equitable access to “virtual” library for all Alabama citizens—K-12, higher education, and the public— through legislative approval for \$3 million in funding for the Alabama Public Library Service (APLS) to fund the Alabama Virtual Library (AVL).
- Sponsorship of AVL training for K-12 schools statewide by NAAL.
- Approval of Affiliate Institution Program by NAAL allowed nonprofit, SACS-accredited, private academic institutions to participate in resource sharing alongside public institutions.
- Identification of APLS as fiscal agent for AVL.
- 2000                    Official creation of AVL with appropriation of \$3 million as a line item in the APLS budget.
- Presentation about custom group subscriptions for electronic journals included in NAAL planning retreat.
- 2001                    Receipt of two-year National Leadership Grant from Institute of Museum and Library Services (IMLS) for Cornerstone Project, subsequently renamed AlabamaMosaic.

- 2001, continued      Initiation of documentation of online collection reflecting Alabama’s history, culture, places, and people through NAAL’s Digital Content Program.<sup>10</sup>
- Presentation by Joe Hewitt, dean of libraries at University of North Carolina at Chapel Hill, who discussed online user expectations, at NAAL planning retreat.  
Election of Faulkner University to NAAL general membership.
- 2002                      Presentation at NAAL planning retreat by keynote speaker Fred Heath, dean of libraries at Texas A & M University, emphasized assessment of library performance.
- Offerings of NAAL workshops targeting topics of virtual reference, digital imaging, copyright law, and metadata as part of IMLS National Leadership Grant.
- 2003                      Discussion at NAAL planning retreat of economic and political challenges facing higher education by Michael Malone, incoming ACHE executive director.
- Election of University of Mobile to NAAL general membership.
- 2004                      Establishment of AVL as educational entity by the Legislature to designate exemption from funding cuts due to proration.
- Inclusion of accreditation issues and Southern Association of Colleges and Schools (SACS) requirements as topics at NAAL planning retreat.
- Launch of AlabamaMosaic public website at Alabama Library Association (ALLA) preconference.
- Approval of participation by NAAL for collaborations supporting Encyclopedia of Alabama and Alabama Center for the Book.
- Formation of Troy University through merger of Troy State University, Troy State University at Dothan, and Troy State University at Montgomery as approved by ACHE.
- 2005                      Relocation of NAAL planning retreat to Destin, Florida, and cancellation of guest speaker Catherine De Rosa, Vice President for Marketing and Library Services at OCLC, due to Hurricane Ivan, designated Category 3.
- Rejection of amendment to organization documents and bylaws continued NAAL exclusion of for-profit academic institutions for general membership.

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<sup>10</sup> Selection of the moniker AlabamaMosaic allowed the project “to forge a closer public identity to Alabama.” Further, the events of September 11, 2001, mandated an extension of the grant until 2004. See Sherida Downer, Sue Medina, Beth Nicol, and Aaron Trehub, “AlabamaMosaic: Sharing Alabama History Online,” *Library Hi Tech* 23, no. 2 (2005): 245.

- 2006 Award of second IMLS National Leadership Grant to support the Alabama Digital Preservation Network (ADPNet), which allowed for safeguarding of locally created digital content and provided for low-cost archival preservation protection through open-source “Lots of Copies Keep Stuff Safe” (LOCKSS) software.
- Promoted exploration of reciprocal borrowing programs highlighted by guest speaker Robert Krall, University of Pennsylvania assistant director for access services, at NAAL planning retreat.
- Demonstrated support by NAAL for Congressional passage of bills mandating open access in digital repositories for academic articles grounded in federally funded research.
- 2007 Presentation by Stephen Abram, Vice President for Innovation at SirsiDynix, about Web 2.0 and potential library applications at NAAL planning retreat.
- Legislative addition of \$400,000 to network’s appropriation in first funding increase for NAAL since 1990.
- 2008 Sponsorship of NAAL’s first AVL Back-to-School quiz for students, including prizes donated by AVL vendors to libraries, with seven thousand students participants.
- Presentation by Matt Goldner, executive director for end user services at OCLC, concerning upgraded OCLC Worldcat features at NAAL planning retreat.
- Authorization for carryover of unexpended funds from one fiscal year to another in unprecedented action by Alabama Legislature, bringing forward \$66,000 to the FY 2009 budget.
- 2009 Approval of replacement of APLS with ACHE as fiscal agent for AVL Council in place of APLS through Legislative vote.
- Presentation by Tyler Walters, associate dean of the library and information center at Georgia Institute of Technology as guest speaker, and inclusion of open access and institutional repositories as NAAL planning retreat topics.
- 2010 Retirement of NAAL Executive Director Sue Medina after 25 years of service.

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July 1997

## CHAPTER ONE

### INTRODUCTION TO THE STUDY

The Network of Alabama Academic Libraries, from its inception, has focused upon devising and executing a systematic plan for enriching the collective resources ... in the state...and for sharing those resources on a cooperative basis.

--Sue O. Medina and William C. Highfill, 1992

Thirty years ago, Alabama colleges and universities confronted crisis, and the Alabama Commission on Higher Education (ACHE) intervened to address concerns over funding, quality, and duplication of materials.<sup>11</sup> As these struggles played out in institutions of higher learning, the Council of Graduate Deans targeted longstanding deficits in research resources and asked the Council of Librarians and ACHE staff to employ the library as a valid measure of graduate education and research.<sup>12</sup> Resource sharing among libraries in Alabama offered academic institutions an efficient, effective method of reinforcing “a common sense notion that information needs to be managed, preserved, accessible, protected, made reliable, and processed in forms that are practical.”<sup>13</sup> Innovative vision and advanced technologies enabled such shared enterprise. Developing collaboration provided context for the Alabama Academic Libraries Network (AALN), subsequently renamed the Network of Alabama Academic Libraries (NAAL).<sup>14</sup>

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<sup>11</sup> ACHE membership consisted of an appointed board of twelve lay members and multiple advisory groups, including the Councils of Presidents, Chief Academic Officers, Graduate Deans, and Librarians.

<sup>12</sup> Alabama Commission on Higher Education, Council of Librarians, 16.

<sup>13</sup> Richard Cox, “Records, Documents, and Stuff in the Digital Era,” transcript (Luminary Lectures @ Your Library Cybercase, March 7, 2003), <http://www.loc.gov/rr/program/lectures/cox.html> (accessed April 24, 2011).

<sup>14</sup> Alabama Commission on Higher Education, Council of Librarians, 8.

## Background of the Study

### Need for NAAL

In 1982, ACHE championed institutional collaboration and innovation by recommending establishment of a cooperative network of Alabama academic libraries. Motivations grew from acknowledgement of the pressing need to ameliorate “historical deficiencies in the library collections supporting graduate education” and “to establish a mechanism for resource-sharing activities among private and public institutions.”<sup>15</sup> While focusing on resource sharing, the developers of NAAL designed a system that would incorporate standard procedures and practical economics.

NAAL demonstrated how collective action could significantly improve library services to the state’s academic community. As a result of the commitment of ACHE advisory councils, Alabama claimed standing as the first statewide library consortium to grant Internet access to then newly available electronic research databases.<sup>16</sup> NAAL’s success, unexpected and abiding, invited exploration at the close of the first twenty-five years.

Coordination of resource sharing served as a watershed event in the history of library consortia. In response to documented deficiencies in academic library resources and services in Alabama, ACHE approved development of NAAL and influenced a merger of strengths among individual institutions. Thomas Davis, who began serving as ACHE chair in 2009, wrote that this noteworthy endeavor marked Alabama as “the first to have a state-funded consortium including

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<sup>15</sup> Linda McNair Cohen, abstract of “Resource Sharing and Coordinated Collection Development in the Network of Alabama Academic Libraries,” *Collection Management* 10, nos. 3/4 (1988): 149.

<sup>16</sup> Sue O. Medina to the Honorable Fob James, Governor of Alabama, March 15, 1996, “Network of Alabama Academic Libraries Fact Sheet,” attachment, NAAL papers, Sterne Library 172, University of Alabama at Birmingham, Birmingham, AL. Here, in her synopsis of NAAL’s first ten years, Medina confirms that “Alabama is the first state to have an online database displaying holdings of all university libraries” and that “NAAL libraries are connected to a national bibliographic utility (OCLC) through which librarians can check online to determine what books and journals are held in academic libraries.” The press release contains similar language: “Alabama became the first state with an online database of all circulating books and serials held by these graduate institutions.” In Medina to James, March 15, 1996, “Network of Alabama Academic Libraries Enriches Library Resources Available for College Students,” attachment, NAAL Papers.

private and publicly supported universities as equal partners” and “the first [state-funded consortium to have] to fully include records for material owned by academic libraries in an online catalogue to support sharing materials statewide.”<sup>17</sup> Other early state library consortia, such as those developed in North Carolina (Triangle Research Libraries Network, 1933) and Ohio (OhioLink, 1967), emphasized resource sharing, but Sue Medina, longtime executive director of NAAL, verified the network’s distinguishing characteristics included by Davis. She explained that “no other statewide consortium had completed converting *all* their bibliographic records by the time we had completed our retrospective conversion project.”<sup>18</sup>

### Evolution of NAAL

NAAL housed a small central staff in space furnished by ACHE and provided services to twenty-one general voting and eight cooperative non-voting member organizations through state-appropriated funding.<sup>19</sup> Specifically, general voting members included Alabama academic institutions offering graduate education, one publicly supported four-year academic institution, and ACHE. Eight cooperative nonvoting members participated fully in discussion and programs. These included three state agencies with responsibilities for statewide research-level library resources (Alabama Public Library Service, Alabama Department of Archives and History, and the Supreme Court and State Law Library), two research libraries supported by military installations offering graduate-level education through extension programs (Air University and Redstone Scientific Information Center), the state’s largest public library offering research-level collections (Birmingham Public Library), and the Marine Environmental Sciences Consortium.

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<sup>17</sup> Thomas P. Davis, “Alabama Universities Building a Statewide Network of Libraries,” *Special to the Press Register* [Mobile] (November 25, 2009). Sue Medina, September 14, 2012, e-mail message to author.

<sup>18</sup> Sue Medina, September 14, 2012, e-mail message to author.

<sup>19</sup> Sue Medina clarified that NAAL’s “[u]nincorporated association is a legal status (as different from an incorporated business) for a legal entity. She continued that, as” an unincorporated association, NAAL was able to apply for 501-c-3 status from the IRS.” Sue Medina, November 8, 2011, e-mail message to author.



Early NAAL-related projects included digitization of card catalog information followed by a statewide collection development policy for building and stewarding materials while minimizing duplication of infrequently used and costly materials. Professional development opportunities for library personnel complemented these efforts. Negotiating strength came with numbers, and NAAL conveyed discounts in online content subscriptions to members.

### Progression of NAAL

Currently, major NAAL-related programs include an evolving list: Alabama Virtual Library (AVL), AlabamaMosaic, and Alabama Digital Preservation Network (ADPNet).

#### *Alabama Virtual Library*

Rudimentary explorations of expanding NAAL's scope emerged in the 1990s with outreach to public K-12 schools, two-year colleges, and public libraries. Considerations of information as an intangible public good encouraged strategies of inclusion beyond college campuses. In a recent interview, historian Wayne Flynt describes the critical nature of information access and use:

[T]hat takes education to the people of this state, ordinary people—people who read, people who are thinking, people who live by the life of the mind, but are not associated with the universities. They're not on faculties. They are just literate Alabamians who want to understand... [I]f education is something that is confined to a classroom or a building at Auburn or The University of Alabama we've lost the battle.<sup>20</sup>

Developing technologies accelerated opportunities for growth in “education, equity, and access to information.”<sup>21</sup> Using federal grant monies in 1994, NAAL members, with cooperation from the Alabama Supercomputer Authority, locally loaded and then shared databases. The Alabama

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<sup>20</sup> Wayne Flynt, interview by Ben Henson, February 28, 2011, transcript, Center for Public Television and Radio, University of Alabama, Tuscaloosa, AL.

<sup>21</sup> Jennifer C. Hendrix, “Checking Out the Future: Perspectives from the Library Community on Information Technology and 21st-Century Libraries” (February 2010), [http://www.ala.org/offices/sites/ala.org/offices/files/content/oitp/publications/policybriefs/ala\\_checking\\_out\\_the.pdf](http://www.ala.org/offices/sites/ala.org/offices/files/content/oitp/publications/policybriefs/ala_checking_out_the.pdf) (accessed February 13, 2013).

Supercomputer Authority granted permission to NAAL to use its data lines. This step encouraged the Alabama Supercomputer Authority to become the state's Internet services provider, eventually the Alabama Research and Education Network. By 1996 NAAL, the Alabama State Department of Education, and the Alabama Supercomputer Authority began exploring the possibility of connecting K-12 schools with the Internet and evaluating potential resources to undergird such an undertaking.

Simultaneous executive and legislative disagreements in Montgomery over education dollars impacted NAAL's efforts to expand the reach of resources. Political science scholar William Stewart wrote about Governor Fob James's tenures and commented on the contentious atmosphere at the state capitol in the 1990s during annual legislative funding contests.<sup>22</sup> Josie Morgan also describes how James's posturing affirmed fissures and factions: "Unfortunately, in his quest to improve K-12 education, he stripped funding from the state's colleges and universities and further strained relations between higher education and the governor's office."<sup>23</sup> Early conversations about collaborative efforts to be funded by the state's education trust raised legislators' hackles on both sides of the aisle.

By 1998, turf battles over legislative funding between higher education and K-12 contingents subsided. Persistent lobbying funneled persuasive information to policy makers. Additionally, NAAL advocates led a grassroots campaign to promote public understanding of the benefits of statewide sharing of information through town hall meetings. Morgan explains how "a dialogue opened with the leadership of key education agencies and each committed to support funding for a statewide

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<sup>22</sup> See William H. Stewart, "Forrest ('Fob') James Jr., 1979-1983, 1995-1999." In *Alabama Governors: A Political History of the State*, ed. Samuel L. Webb and Margaret E. Armbruster (Tuscaloosa, AL: University of Alabama Press, 2001), 243-48.

<sup>23</sup> Josie Morgan, "Turning a Dream into a Virtual Reality of Statewide Information Sharing," *Computers and Libraries* 21, no. 1 (January 2001): 50, <http://ehis.ebscohost.com/eds/pdfviewer/pdfviewer?sid=172c4442-8f32-4778-8316-5a0c7d5c3030%40sessionmgr10&vid=4&hid=20> (accessed May 29, 2010).

virtual library...with a steering committee of interested volunteers from state agencies and associations.”<sup>24</sup>

Initial funding from state legislators for this Alabama Virtual Library (AVL) in 2000 totaled \$3 million. Judicious stumping in Alabama for expansive access to magazines, journals, and newspapers online resulted in the AVL, offering all Alabama citizens within and outside academic communities “an electronic library of essential information resources, ensuring equity of access to excellent information regardless of geography.”<sup>25</sup> Participating agencies—namely schools and public libraries—made these resources available to residents who visited these facilities.<sup>26</sup> Alabama residents interested in remote access applied for AVL cards at local public libraries; these cards included a personal identification number used for log-in and could be renewed every three years. Each year, state legislators determined the amount of funding for database subscriptions that support AVL. This funding is based on state income and sales tax dollars apportioned to the Alabama Education Trust Fund.

#### *AlabamaMosaic*

Tornados, hurricanes, heavy rain, and wildfires present ongoing challenges in safekeeping of Alabama state records and institutional repositories. ACHE supported NAAL’s emphasis on

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<sup>24</sup> Morgan, 50. The education agencies included NAAL, Alabama State Department of Education, Alabama Department of Postsecondary Education, Alabama Public Library Service, and Alabama Supercomputer Authority.

<sup>25</sup> Alabama Virtual Library, “Article II,” *AVL Council Bylaws*, <http://www.avl.lib.al.us/about/councilbylaws.php> (accessed October 18, 2010). For a succinct discussion of libraries, communities, and civic engagement, see Nancy Kranich, “Civic Partnerships: The Role of Libraries in Promoting Civic Engagement,” in *Libraries Beyond Their Institutions: Partnerships That Work*, ed. William Miller and Rita M. Pellen (New York: Haworth Press, 2005/2006): 89-103.

<sup>26</sup>For a description of early concerns about equity of access, see Richard J. Cox, Jane Greenberg, and Cynthia Porter, “Access Denied: The Discarding of Library History,” *American Libraries* 29, no. 4 (April 1998): 57-61, <http://www.jstor.org/stable/25634927> (accessed April 15, 2011). The authors include a pointed perspective: “But in the mid and late nineteenth century, there were also debates about the equity of access afforded by different versions of catalogs...the dictionary catalog (organized in alphabetical order) was hailed as the ‘democratic’ approach to access over the classified catalog (using a classification scheme, representing knowledge by number and/or letter).”

preservation and encouraged application for a successful National Leadership Grants from the federal Institute of Museum and Library Services (IMLS) in 2001. With receipt of these IMLS grant funds, NAAL developed AlabamaMosaic as an “online collection of digital materials documenting Alabama's history, culture, places, and people.” This digital repository also complemented the *Alabama Moments in History* study guide published by the Alabama Department of Archives and History.<sup>27</sup> Originally named The Cornerstone Project, the three-year IMLS project served as a model for state cultural heritage repositories with outreach throughout Alabama to libraries, museums, and archives and to individuals with significant historical items.

Statewide training opportunities for information professionals and community members interested in contributing to this digitization project are ongoing. NAAL coordinates this resource “as a statewide program to identify, digitize, and preserve traditional historical scholarly materials held uniquely by NAAL institutions and other repositories and seeks to make these electronically accessible to Alabama residents as well as scholars throughout the world.”<sup>28</sup> NAAL-member Auburn University hosts the central site for AlabamaMosaic. Membership to the AlabamaMosaic Users Group is open; this group meets twice yearly to share information.

#### *Alabama Digital Preservation Network*

With development of AlabamaMosaic, NAAL recognized the need for digital archiving of online collections. Geophysical risk and economic vulnerabilities served as impetus for Alabama

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<sup>27</sup> Network of Alabama Academic Libraries, “AlabamaMosaic Policy.” Attachment F to NAAL executive council meeting minutes (27 October 2010): 1, <http://www.ache.state.al.us/NAAL/Mosaic/AlabamaMosaic-Policy.pdf> (accessed January 16, 2011). Emphasizing the significance of archival collections, literary scholar Carla Mulford observes: “The renewed activity in archival recovery is an important reminder of the changes in interpretation that can occur when attention is given to peoples whose stories were always there, but somehow forgotten by the writers of history.” In “The Ineluctability of the Peoples’ Stories,” *William and Mary Quarterly*, Third Series, 57, no. 3 (July 2000): 632.

<sup>28</sup> “Network of Alabama Academic Libraries: AlabamaMosaic Policy.” Meeting of the Executive Council, Attachment F (27 October 2010), 2, <http://www.ache.state.al.us/NAAL/Mosaic/AlabamaMosaic-Policy.pdf> (accessed January 16, 2011).

preservation strategies.<sup>29</sup> NAAL applied for and received a second IMLS grant in 2006 to fund a disaster preparedness initiative for the network and seven Alabama institutions, including the Alabama Department of Archives and History (ADAH), Auburn University, University of Alabama at Birmingham, University of Alabama, Spring Hill College, University of North Alabama, and Troy University. The Alabama Digital Preservation Network (ADPNet) merged culture, digital technology, and information science through locally created digital content and low-cost archival protection.

Unlike AlabamaMosaic, this NAAL project restricted participation and access to academic institutions, state agencies, and cultural heritage organizations in Alabama.<sup>30</sup> Open-source “Lots of Copies Keep Stuff Safe” (LOCKSS) software development and coding began in 1999 at Stanford University.<sup>31</sup> LOCKSS allowed institutions “to take custody of and preserve access to the e-content to which they subscribe, restoring the print purchase model with which librarians are familiar.”<sup>32</sup> Preserved digital content would become available to member organizations for backup restoration only following a human error or natural disaster. Substantiating the IMLS National Leadership Grant, “the project successfully demonstrated that a LOCKSS preservation network can support the

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<sup>29</sup> For Aaron Trehub and Tom Wilson, digitization underscored urgency for digital preservation. They detail the development and workings of ADPNet and argue that “the advent of a ‘digital dark age’ is not just a clever conceit; it is a real danger” in “Keeping It Simple: The Alabama Digital Preservation Network (ADPNet),” *Library Hi Tech* 28, no. 2 (2010): 245-58, <http://www.emeraldinsight.com/journals.htm?issn=0737-8831&volume=28&issue=2&articleid=1864752&show=html> (accessed November 8, 2011).

<sup>30</sup> The ADPNet governance policy included membership details: Any Alabama cultural heritage institution creating publicly available digital assets whose activities and objectives are consistent with the Alabama Digital Preservation Network’s mission and principles may join ADPNet...[including but] not limited to universities, libraries, museums, historical societies, and agencies of state government, as well as consortia of organizations and individual projects.” [http://www.adpn.org/docs/pdf/ADPNet\\_Governance\\_Policy.pdf](http://www.adpn.org/docs/pdf/ADPNet_Governance_Policy.pdf) (accessed April 11, 2013).

<sup>31</sup> For an overview of LOCKSS, see Vicky Reich and David S. H. Rosenthal, “LOCKSS: A Permanent Web Publishing and Access System,” *D-Lib Magazine* 7, no. 6 (June 2001): n.p. “<http://webdoc.sub.gwdg.de/edoc/aw/d-lib/dlib/june01/reich/06reich.html> (accessed April 2, 2013).

<sup>32</sup> “What Is LOCKSS?” <http://www.lockss.org/about/what-is-lockss/> (accessed October 29, 2012).

digital preservation needs of different types of institutions.”<sup>33</sup> NAAL actively campaigned to raise awareness of digital preservation and to create demand for digital storage solutions throughout the state.<sup>34</sup>

ADPNet allowed for safeguarding cultural memory through retained access to digital materials procured through purchase and contribution. Aaron Trehub, assistant dean for technology and technical services at Auburn University Libraries, observed that digital preservation is “invisible, unglamorous, and absolutely necessary” and that ADPNet “currently contains two hundred collections (archival units) from all seven member institutions.”<sup>35</sup> He also noted that ADPNet was the first statewide Private LOCKSS Network (PLN) in the United States and that, although cultivated in a “relatively poor state,” collaboration among institutions produced an economically sustainable solution for long-term digital curation.<sup>36</sup>

### **Problem Statement**

Libraries in the United States ushered in the concept of collaboration at the first conference of the American Library Association in 1876 and secured organized opportunity for institutional innovation with early considerations of “interlibrary lending, uniform catalog cards, and a central borrowing library.”<sup>37</sup> Motivations ranged from procedural standardization to practical economics. Efforts included individual librarians in various user communities establishing information

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<sup>33</sup> Alabama Digital Preservation Network, “The Alabama Digital Preservation Network: Preserving Alabama’s Digital Resources,” <http://www.adpn.org/> (accessed November 21, 2010).

<sup>34</sup> Sue Medina and Aaron Trehub, “NAAL Statewide Digitization Program” (presentation to Collection Development and Resource Sharing Conference, Tallahassee, FL, 2008).

<sup>35</sup> Aaron Trehub, “Keeping It Simple” (presentation to LIS 505 Collection Development class, School of Library and Information Studies, University of Alabama, Tuscaloosa, AL, March 23, 2011).

<sup>36</sup> Ibid.

<sup>37</sup> Joseph E. Straw, “When the Walls Came Tumbling Down: The Development of Cooperative Service and Resource Sharing in Libraries: 1876-2002,” *Reference Librarian* 40, nos. 83/84 (2004): 264.

cooperatives. Advances in rail service at the turn of the twentieth century facilitated interlibrary loans and allowed for consistent service. Further, when the United States Postal Service established parcel post in 1913, “libraries no longer had to face the extra costs associated with private shipping companies.”<sup>38</sup> Additionally, federal legislation and funding encouraged interlibrary loans and multi-type library cooperation. Budget reductions for libraries grew out of the Great Depression, when joint cataloging projects reduced expenses of processing. Following those lean years, “the affluence of the post-war period contributed to programs...bigger and more ambitious” with emphasis on scientific research.”<sup>39</sup> By the 1960s, scholarly publishing grew to unprecedented levels, and library consortia multiplied as “dimensions of information were simply too large for any one institution to comprehend the whole.”<sup>40</sup> Advances in technology, ranging from microphotography to computing, further enabled interlibrary cooperation. Computer processing allowed storage and retrieval of standardized bibliographic information, and electronic communication eliminated geographic limitations among repositories. Internet availability expanded information availability, and demand and expense for information services contoured library collaboration. This study explores how social, political, technological, and economic forces impacted the twenty-five-year history of the Network of Alabama Academic Libraries (NAAL) and influenced the development of expanded access to information statewide.

### **Research Questions**

Grounded in oral history, archival research, and secondary source analysis, this dissertation identifies NAAL’s origins and evolution, distinguishes achievement factors, and explores issues

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<sup>38</sup> Straw, 267.

<sup>39</sup> Ibid., 269.

<sup>40</sup> Ibid., 270.

overlooked in extant inquiries to inform future decisions. The primary research questions include the following:

- RQ1: How was NAAL able to promote and sustain interlibrary cooperation, networking, and collaboration from 1984-2009?
- RQ2: How did NAAL forerunners, who sponsored equitable access, influence optimum use of research resources?
- RQ3: What factors effected and distinguished the successful library consortium established through NAAL?

This research study examines the evolution of NAAL from 1984 to 2009, explores collections and experiences of principals involved in the development of NAAL, and identifies success factors for the network.

### **Significance of the Study**

The lineage of library cooperation in the United States has been described by many scholars, but compelling histories continue untold.<sup>41</sup> Several publications mention NAAL's significance as an early library network, but the voices of pioneers in Alabama who envisioned and encouraged its inception, development, and expansion remain undocumented. This study renders an analysis of narratives gathered from progenitors after twenty-five years of network growth and upon retirement of longtime Executive Director Sue Medina. These original perspectives provide rich evidence of the creativity, struggles, and strategies embedded in the history of Alabama's cooperative library organization.

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<sup>41</sup> See Sharon L. Bostick, "The History and Development of Academic Library Consortia in the United States: An Overview," *Journal of Academic Librarianship* 27, no. 2 (March 2001): 128-30; Denise M. Davis, *Library Networks, Cooperatives and Consortia: A National Survey* (Chicago, IL: American Library Association, December 3, 2007) <http://www.ala.org/ala/research/librystats/cooperatives/lnc/Final%20report.pdf> (accessed February 12, 2011); and James J. Kopp, "Library Consortia and Information Technology: The Past, the Present, the Promise," *Information Technology and Libraries* 17, no. 1 (March 1998): 7-12.



In 1972, as applications of online cataloguing gained traction in the United States, Ruth Patrick described early adopters: “While the idea of interlibrary cooperation is a very old one...very little information on consortium activities, successes, and problems has been available to help libraries weigh the desirability of participating in existing consortia or decide how best to proceed in developing new consortia.”<sup>42</sup> Almost thirty years later, Sharon Bostick echoed Patrick’s observation that “cooperation among libraries is not a new concept.”<sup>43</sup> She added that “recent developments in the growth in importance of electronic materials have led to a change in thinking about how libraries cooperate,” and she labeled “the growth of formal cooperative entities: library consortia.”<sup>44</sup> Roger Schonfeld, who wrote an account of the digital database and resource JSTOR, lamented that “there had been little such work on the prominent library cooperatives created in the past generations.”<sup>45</sup> The history of NAAL provides an opportunity to work toward filling the gap in such scholarship.

NAAL’s overarching accomplishments since 1984 have included collaborative efforts among academic libraries to improve interlibrary loan efficiency, public outreach through school media centers and public libraries to promote access to digital resources, and contemporary endeavors to circumvent catastrophe through strategic preservation. This history will be captured in attendant recordings, oral and written, historical and acquired.<sup>46</sup> In 1959, Erving Goffman, a sociologist,

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<sup>42</sup> Ruth J. Patrick, introduction to *Guidelines for Library Cooperation: Development of Academic Library Consortia* (Santa Monica, CA: System Development Corporation, 1972), 1.

<sup>43</sup> Sharon Bostick, “Academic Library Consortia in the United States,” *Liber Quarterly* 11, no. 1 (2001): 6.

<sup>44</sup> *Ibid.*, 6.

<sup>45</sup> Roger C. Schonfeld, introduction to *JSTOR: A History* (Princeton, NJ: Princeton University Press, 2003), xvii. Many years prior, in the Preface to *Guidelines for Library Cooperation*, maven Ruth Patrick foretold Schonfeld’s finding: “While the idea of interlibrary cooperation is a very old one...very little information on consortium activities, successes, and problems has been available to help libraries weigh the desirability of participating in existing consortia or decide how best to proceed in developing new consortia.”

<sup>46</sup> In his intercultural study of Native American oral performance, Dennis Tedlock introduces the worth of a device that captures the spoken word: “It is not only the voice of the storyteller that is set free by sound recording, but also the ear of the mythographer.” He also explains that the “audible text” will be recognized as a primary source, allowing for multiple minings of the contents. In *The Spoken Word and the Work of Interpretation* (Philadelphia: University of Pennsylvania Press, 1983): 3, 5.

presented the descriptor “backstage language of behavior” to include “cooperative decisionmaking,” and to categorize information conduct.<sup>47</sup> Within an established context, evidence collected will review the development of an innovative network that provides wide access to many resources in the context of a deep-South state long recognized for pervasive poverty.<sup>48</sup> In Terry Cochran’s 1994 exploration of Antonio Gramsci’s theory of culture, he maintains that “publishing is the primary means for preserving and disseminating culture” and that “one has to share it [culture] in order to have access to it.”<sup>49</sup> NAAL’s yield—expanded resources and forged partnerships—will be explored beyond ivory towers and the Montgomery statehouse.<sup>50</sup>

## Literature Review

### Chronological Underpinnings of Library Cooperation

The American Library Association (ALA) formed in 1876 and appointed the Committee on Co-operation in Indexing and Cataloguing that same year.<sup>51</sup> Cooperation in late nineteenth-century library practice signified uniform communal practices of “cataloguing, shelf arrangement,

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<sup>47</sup> Erving Goffman, *The Presentation of Self in Everyday Life* (Garden City, NJ: Doubleday, 1959), 128.

<sup>48</sup> Sue Medina, “The Evolution of Cooperative Collection Development in Alabama Academic Libraries,” *College and Research Libraries* 53 (January 1992): 7-19.

<sup>49</sup> Terry Cochran, “Culture in Its Sociohistorical Dimension,” *boundary 2* 21, no. 2 (summer 1994): 154, 175.

<sup>50</sup> Thomas McAdory Bankhead explains that the state capitol was referenced locally as “Goat Hill” in the early history of Montgomery, and this designation continues to present day. In *History of Alabama and Dictionary of Alabama Biography*, vol. 1 (Chicago: S. J. Clarke Publishing, 1921), 201, <http://digital.archives.alabama.gov/cdm4/document.php?CISOROOT=/dictionary&CISOPTR=908&REC=1> (accessed November 8, 2011). For affirmation from “the folklore of later generations that ‘the hill received its name from the creatures legislating within the capitol, rather than from those that grazed the slopes,’” see William Warren Rogers, Robert David Ward, Leah Rawls Atkins, and Wayne Flynt, *Alabama: The History of a Deep South State* (Tuscaloosa, AL: University of Alabama Press, 1994), 148. For further discussion of the bucolic acreage deeded to the city in the early nineteenth century by land developer Andrew Dexter, one of Montgomery’s founders, see M.P. Blue, *A Brief History of Montgomery* (Montgomery, AL: T. C. Bingham, 1878) and Clanton W. Williams, *The Early History of Montgomery and Incidentally of the State of Alabama* (Tuscaloosa: University of Alabama Press, 1976).

<sup>51</sup> Melvil Dewey, “Co-operation Committee—Preliminary Report,” *American Library Journal* 1, no. 8 (April 30, 1877): 283-86. Dewey includes early description of the group “The other committee which we would mention was appointed to consider any matters in which co-operation may be thought to be practicable, and devise plans for carrying it on.” See “Co-operative College Cataloguing,” *American Library Journal* 1, no. 12 (August 31, 1877): 435.

selection methods, and book buying methods” as well as “supplies and devices that were used in libraries.”<sup>52</sup> In 1886, library pioneer Melvil Dewey proselytized: “I appeal to the intelligent and reasonable librarians who really wish to see our profession elevated to a higher rank, our methods improved, our expenses reduced by cooperation, while our usefulness steadily increases.”<sup>53</sup>

Promotion of sharing among libraries can be traced to the 1880s. Oft-cited discussions include E. A. Mac’s “Co-operation Versus Competition” in 1885 and multiple articles penned by Dewey.<sup>54</sup> Similarly, Lawrence Leonard’s prologue to “Cooperative and Centralized Cataloging and Processing: A Bibliography, 1850-1967” traces the developing maturity of significant tasks associated with book processing: cooperative and centralized acquisitions, cataloging and processing.<sup>55</sup> With a shared emphasis on social and economic forces, he stresses the growth of processing centers and the availability of monies beginning in 1940 and lasting well past 1960 and foreshadows what library scholars would later deem a “boom” in describing library cooperation activities in the mid-twentieth century.<sup>56</sup>

After the turn of the century, burgeoning transportation and communication enhanced library cooperation through accessible and economical interlibrary loan delivery systems. Isolated

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<sup>52</sup> Francis Miksa, “Melvil Dewey and the Corporate Ideal,” in *Melvil Dewey: The Man and the Classification*, ed. Gordon Stevensen and Judith Kramer-Green (Albany, NY: Forest Press, 1983), 60.

<sup>53</sup> Melvil Dewey, “Library Co-operation and the Index to Periodicals,” in *Library Notes: Improved Methods and Laborsavers for Librarians, Readers and Writers*, ed. Melvil Dewey (Boston: Library Bureau, 1886), 197.

<sup>54</sup> H.G.T. Cannons, *Bibliography of Library Economy: A Classified Index to the Professional Literature Relating to Library Economy, Printing, Methods of Publishing, Copyright, Bibliography, etc.* (London: Stanley Russell, 1910): 215. An advertisement in the May 1885 edition of *American Library Journal* identifies Mac as a New York advertising agent and commissioned book buyer for public and private libraries. William Cushing notes that Mac used the pseudonym “MacClean” when publishing in the *American Library Journal*. In *Initials and Pseudonyms: A Dictionary of Literary Disguises*, 2 tomes in one volume (New York: Thomas Y. Crowell, 1885-1888), 180.

<sup>55</sup> Lawrence E. Leonard, “Cooperative and Centralized Cataloging and Processing: A Bibliography, 1850-1967” (occasional paper, Illinois University, Urbana, 1968), 2, <https://www.ideals.illinois.edu/bitstream/handle/2142/3976/gslisoccasionalpv00000i00093.pdf?sequence=1> (accessed January 29, 2011). Leonard’s prologue also includes a fascinating explanation of the evolution of indexing terms, beginning with cataloging, cooperative, and order work-cooperation, beginning in 1921.

<sup>56</sup> Straw, 269.

areas of the United States could access materials held in collections of libraries in cities through railroad service; librarians could verify items to be borrowed from institutions by telephone; and, in 1913, books could be mailed through parcel post using the United States Postal Service.<sup>57</sup> Likewise, union catalogs and Library of Congress catalog cards reinforced collaboration expansion. As early as 1921, the Special Libraries Association (SLA) published a collection of five papers delivered under a general heading of “Cooperation between Public and Special Libraries.” Contributors include the president of SLA, a librarian at Boston Public library, the publisher of *Library Journal*, a representative of the National Industrial Conference Board, and the director of Simmons College Library School. These diverse authors all emphasize engagement through resources, community, progress, and relationships.<sup>58</sup> Years later, Esther Bierbaum credited interlibrary cooperation with promoting emergence of specialized collections in business environments.<sup>59</sup> Straw encapsulates descriptions of eras of library cooperation development: “on the horizon”/1876-1900, “foundations”/1900-1930, “economic necessity”/1930-1940,” “boom”/1940-1970, and “world without walls”/1970-2002.”<sup>60</sup>

Dramatic financial downturns brought about by the Great Depression channeled library cooperation along economic lines. Interlibrary loan remained a significant service throughout the nation, but, beyond that function, expenses associated with duplicated cataloging records surfaced as a critical concern. Specifically, “the expensive problem of processing and the duplication of work”

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<sup>57</sup> Straw, 266-67.

<sup>58</sup> The referenced articles are contained in *Special Libraries* 12 (September-October, 1921): 179-88, as follows. Dorsey W. Hyde, Jr., “Introductory Remarks,” 179-80; Charles Francis Dorr Belden, “The Public Libraries and the Special Libraries,” 180-88; R.R. Bowker, “The True Relations of the Public and the Special Library,” 183-84; J.H. Friedel, “Can We Have Library Cooperation?” 184-86; and June Richardson Donnelly, “Library Training for the Special Librarian,” 186-88, <http://www.sla.org/speciallibraries/> ISSN00386723V12N7.PDF (accessed January 31, 2011).

<sup>59</sup> Esther G. Bierbaum, *Special Libraries in Action: Cases and Crises* (Englewood, CO: Libraries, Unlimited, 1993).

<sup>60</sup> Straw, 264, 266, 268, 269, 271.

challenged libraries. There were over seven hundred union lists, or lists of materials at groups of libraries in the United States, by 1939.<sup>61</sup>

At the 1939 ALA symposium, *The Library of Tomorrow*, Robert Downs presented a paper entitled “One for All: A Historical Sketch of Library Co-operation, 1930-1970.” This foretelling sparked interest in regional library cooperative efforts. Downs grounds his introductory comments by emphasizing social consciousness and encouraging discussion regarding the imminent progression of library collections: “No one library could hope to buy and store them all, and individual library budgets could not be increased fast enough to cover the cost of even the most important titles in all fields.”<sup>62</sup> With clarity Downs projects international union catalogs, comprehensive purchasing agreements, microfilm and interlibrary loans, and archiving as well as safekeeping of historical manuscripts and public documents.

Ten years later, with an eye still trained on the potential of library associations, he described how the United States geared up to secure library acquisitions during the Second World War. At that time, the European book market was inaccessible to nongovernmental American libraries, and engaging Library of Congress agents through the 1945 Cooperative Acquisitions Project brought “to this country one or more copies of all European publications of the war period” through cooperative buying.<sup>63</sup> This Cooperative Acquisitions Project ended in 1947, succeeded by The Farmington Plan at the onset of the Cold War.<sup>64</sup> A political twist to library acquisitions gave way to

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<sup>61</sup>Straw, 269.

<sup>62</sup> Robert Bingham Downs, “One for All: A Historical Sketch of Library Co-operation, 1930-1970,” in *The Library of Tomorrow: A Symposium*, ed. Emily M. Danton (Chicago: American Library Association, 1939), 63. Downs served as president of the Association of College and Research Libraries (ACRL) from 1940-41. Under his executive leadership, ACRL was recognized as the first division of ALA in 1940.

<sup>63</sup> Robert Downs, “Wartime Co-operative Acquisitions,” *Library Quarterly* 19, no. 3 (July 1949): 158.

<sup>64</sup> For background, see Ralph D. Wagner, *A History of the Farmington Plan* (Lanham, MD: Scarecrow Press, 2002) and Pamela Spence Richards, “Gathering Enemy Scientific Information in Wartime: The OSS and the Periodical Republication Program,” *The Journal of Library History (1974-1987)* 16, no. 2, *Libraries & Culture II* (spring 1981): 253-64.

economic forces in the early 1970s as the Farmington Plan became obsolete in the early 1970s with the growth of commercial book publishing.

Growing emphasis on higher education grew in the United States in the mid-twentieth century. Accordingly, provisions for requisite research resources developed as a concern among academic libraries. The 1944 Servicemen's Readjustment Act (GI Bill) served as one example of federally funded initiatives promoting higher education. After the Second World War, scores of returning veterans enrolled in school as an alternative to seeking employment and potentially flooding the job market.<sup>65</sup> Academic opportunities fortified economic stability in the United States during this era, and Keith Olson reveals how those responsible for the GI Bill legislation “explicitly indicated by their statements and testimonies that they felt the primary postwar problem was the economy, not the veterans.”<sup>66</sup> The United States public, however, interpreted this act as demonstrated support for veterans, and “veterans’ groups consistently and vociferously preached the righteousness of helping veterans as an end in itself and few politicians and few Americans challenged them.”<sup>67</sup>

National support for higher education increased again after the successful launch of the Soviet satellite Sputnik in 1957, an event referenced in the 1958 National Defense Act as “the present emergency.”<sup>68</sup> Thomas Bonner argues that “independent observers have been warning us

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<sup>65</sup> The United States Department of Veterans Affairs reports, “In the peak year of 1947, veterans accounted for 49 percent of college admissions” and that when “the original GI Bill ended on July 25, 1956, 7.8 million of 16 million World War II veterans had participated in an education or training program.” In “The GI Bill’s History.” [http://gibill.va.gov/benefits/history\\_timeline/index.html](http://gibill.va.gov/benefits/history_timeline/index.html) (accessed September 2, 2012).

<sup>66</sup> Keith W. Olson, “The G.I. Bill and Higher Education: Success and Surprise,” *American Quarterly* 25, no 5 (December 1973): 598, <http://www.jstor.org/stable/2711698> (accessed February 20, 2013).

<sup>67</sup> *Ibid.*, 600. Olson goes on to describe outcomes from increased veterans’ enrollment, including larger class sizes, increased institutional enrollments, and prominent use of graduate students as classroom instructors.

<sup>68</sup> National Defense Education Act (NDEA) (P.L. 85-864), *United States Statutes at Large* vol. 72 p. 1580 – 1605 (from page 1581). [http://www.edu.uoulu.fi/tohtorikoulutus/jarjestettava\\_opetus/Troehler/NDEA\\_1958.pdf](http://www.edu.uoulu.fi/tohtorikoulutus/jarjestettava_opetus/Troehler/NDEA_1958.pdf) (accessed February 20, 2013).

about what the Soviets were doing in education, especially in science education... science and education have now become the main battleground of the Cold War.”<sup>69</sup> Political influences directed funding to universities for expanded scientific research in response to “the start of the space age and the U.S.-U.S.S.R space race.”<sup>70</sup>

Many scholars point to the 1954 Supreme Court Decision *Brown v. Board of Education of Topeka* as a third critical factor effecting an education revolution, what John Mark Tucker describes as “a new awareness of higher education as a tool for upward mobility and equality of opportunity.”<sup>71</sup> In his discussion of libraries and issues of social inequalities, Edmon Low casts a wide net to include migrant workers and marginalized populations in Appalachia, the South, and Southwest and demonstrate opportunities extended by enhanced education.<sup>72</sup> An intensified emphasis on scholarship during this era promoted expansion of library collections to meet growing research demands:

Libraries were basic to research, and the publications explosion during this period brought mountains of documents to be stored, arranged, indexed, and made available...particularly in the colleges and universities which were expected the shoulder the burden of this growing demand for education and research, it was evident libraries needed recognition and assistance as never before.<sup>73</sup>

Low also points out that, as the United States focused on domestic problems and considered applicable legislation for creation of and funding for social programs, “libraries came in for a

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<sup>69</sup> Thomas N. Bonner, “Sputniks and the Educational Crisis in America,” *Journal of Higher Education* 29, no. 4 (April 1958): 178.

<sup>70</sup> National Aeronautics and Space Administration, “Sputnik and the Dawn of the Space Age,” <http://history.nasa.gov/sputnik/> (accessed September 13, 2012).

<sup>71</sup> John Mark Tucker, “User Education in Academic Libraries: A Century in Retrospect,” *Library Trends* (Summer 1980): 17.

<sup>72</sup> Edmon Low, “Federal Consciousness and Libraries,” *American Libraries* 3, no. 7, Two Decisive Decades: 1952-1972: Festschrift Issue Honoring David H. Clift (July-August 1972): 717-18.

<sup>73</sup> *Ibid.*, 718.

considerable share of attention.”<sup>74</sup> The Libraries Services Act (LSA) of 1944 had a limited scope of rural libraries, and Alabama Senator Lister Hill introduced it to the Senate in 1946. It passed in 1956 and provided \$2,500,000 annually for five years for construction of library buildings. With backing from Alabama Senator Carl Elliott, the LSA was renewed in 1960 and again in 1964. In what was labeled “the most influential library legislation in the national’s history,” the 1964 Library Services and Construction Act (LSCA) allowed for construction of library buildings, new and remodeled, in rural and urban areas throughout the United States.<sup>75</sup> Title III of LSCA in 1966 broadened opportunities to promote interlibrary collaboration and services to mental institutions and prisons.<sup>76</sup> Most significantly to this study, the 1966 extension included a significant provision for library networks “for establishment and maintenance of local, regional, state or interstate cooperative networks of libraries.”<sup>77</sup> The LSCA extension was the least funded aspect of the Act because abstract library cooperation was more difficult to comprehend and market to constituents than visible library buildings and library services.

Among academic libraries, considerations for sharing acquisitions through “communication and transportation networks” drove growing interest in the integration of technology.<sup>78</sup> Margaret Egan summarizes responses by librarians as technological influence provided evidence of impact

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<sup>74</sup> Low, 719.

<sup>75</sup> James W. Fry, “LSA and LSCA, a Legislative History, 1956-1973: A Legislative History,” *Library Trends* (July 1975): 16-17. Low notes that the Academic Facilities Act of 1963 encouraged library construction but also offered grant funding to public and private institutions of higher education.

<sup>76</sup> Low, 722. Low identifies the LSA as the progenitor of contemporary library legislation.

<sup>77</sup> *Interlibrary Cooperation and Resource Sharing Grants to State Library Agencies*, CFDA No. 84.035, <http://www2.ed.gov/pubs/Biennial/604.html> (accessed September 16, 2012).

<sup>78</sup> Robert Bingham Downs, “University Library Problems and Trends,” Paper 6, *Library Associates* 36 (fall 1970): 15, <http://surface.syr.edu/libassoc/6> (accessed September 2, 2012).



upon institutional foundations.<sup>79</sup> She finds that, as professionals, librarians were accustomed to viewing knowledge in established patterns, and many exhibited initial trepidation about inevitable paradigm shifts—destruction and replacement of traditional forms of access.<sup>80</sup> Egan recognizes and acknowledges the hash of information, society, and reason required for revelation: “The study of bibliographic organization is, in effect, the study of the channels through which recorded knowledge flows, set against the background of evolving social and intellectual organization which determines where, how, and by whom that knowledge can be made effective in action.”<sup>81</sup>

Expanded print collections presented burdens for institutions with limited space. William Dix finds “some evidence that in the fifties and sixties librarians at last have begun to realize that each library cannot continue to double in size every seventeen years, that the only salvation lies in the development of rational and economically sound systems of sharing resources, and that the new technology must be put to work for better national and regional systems of bibliographic control and or the rapid delivery of text.”<sup>82</sup> Accordingly, “cooperative ventures” grew to “one of the more productive areas of interinstitutional agreements.”<sup>83</sup>

In a seminal work that identified collected knowledge available to society as a critical variable, Ruth Patrick describes how library consortia developed at unprecedented levels after 1961 with the beginnings of computer processing. Machine Readable Cataloging (MARC) records and machine-readable magnetic tapes led to machine-readable bibliographic information during this

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<sup>79</sup> Margaret Egan, “The Library and Social Structure.” *Library Quarterly* 25, no. 1 (January 1955): 18.

<sup>81</sup> *Ibid.*, 20-21.

<sup>82</sup> William S. Dix, “Cause and Effect on University Libraries,” *American Libraries* 3, no. 7, Two Decisive Decades: 1952-1972: Festschrift Issue Honoring David H. Clift (July-August 1972): 730.

<sup>83</sup> Patrick, 1.

decade.<sup>84</sup> Related considerations for a national standard protocol for information retrieval, eventually Z39.50, grew in the 1960s and formal development occurred in 1979.<sup>85</sup> Computer database “developments provided for faster and more reliable access to data stored on computers.”<sup>86</sup> Broad access to comprehensive and reliable information via electronic data empowered users.

In 1965, American Library Association President Robert Vosper summarized the impact of “the increasingly high value American society has placed on knowledge” and a failure “to undergird this major social effort with proper library support” in two decades following World War II.<sup>87</sup> He emphasizes the discrepancy between federal dollars spent promoting research and development and in supporting information services. He finds that “federal policy, or, to be more precise, lack of federal policy, must bear a heavy burden of guilt for the present inability of the library community...to respond adequately to the needs of research.”<sup>88</sup> Vosper points out that, while research was viewed as an organic process, academic libraries were seen as static “housekeeping service.”<sup>89</sup> Underfunded libraries struggled to provide timely, quality research services to users.

Joseph Becker discusses a prospective national library network in 1969 and identifies service, technology, and economics as driving forces for such an undertaking. Like Downs in 1939, he offers a prediction proved accurate: “Computers, with their direct access capability, and communications

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<sup>84</sup> MARC record formatting originated at the Library of Congress. See Henriette D. Avram, *MARC: Its History and Implications* (Washington, D.C.: Library of Congress, 1975).

<sup>85</sup> See Joan F. Williams, “An Overview of Z39.50 or Consumers,” *Library Technology Reports* 33, no. 5 (1992): 507-14, for a discussion on “a standard with origins in wishful thinking.”

<sup>86</sup> Straw, 272.

<sup>87</sup> Robert G. Vosper, “Libraries and the Inquiring Mind,” *ALA Bulletin* 59, no. 8 (September 1965): 709.

<sup>88</sup> *Ibid.*, 710.

<sup>89</sup> *Ibid.*, 711.

with their multimedia distributive capacities, can function as effective coupling devices for bringing an individual user and his sources of information closer together.”<sup>90</sup>

Dorothy Kittel includes discussion of the subsequent legislation that impacted regional, interstate, and area library activities through 1972. She clarifies that a national library network was not deemed feasible because interlibrary cooperative activities encompassed multiple types of libraries: “States have moved to projects which require types of libraries within a geographic area to *cooperatively* assess needs, *jointly* develop plans and programs to meet needs, and *jointly* evaluate their efforts.”<sup>91</sup>

In 1975, one entire issue of *Library Trends* was devoted to library cooperation. Sixteen chapters provide abundant representation of the layers encompassing various approaches, and this collection serves as a reference for a burgeoning specialty. Grounded in politics and economics, the first article emphasizes library cooperation as “highly dependent on technology and a high level of energy consumption.”<sup>92</sup> The 1973-74 United States oil embargo colored such declarations.<sup>93</sup> This practical outlook harkens directly back to Dewey’s stress on efficient management through strategic steering.

In this same *Library Trends* collection, Kraus investigates commonalities among library cooperatives with a discussion of authorities who navigated “the maze of articles, books, and reports

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<sup>90</sup> Joseph Becker, “Information Network Prospects in the United States,” *Library Trends* 17 (January 1969): 311-12, [https://www.ideals.illinois.edu/bitstream/handle/2142/6448/librarytrendsv17i3j\\_opt.pdf?sequence=1](https://www.ideals.illinois.edu/bitstream/handle/2142/6448/librarytrendsv17i3j_opt.pdf?sequence=1) (accessed January 24, 2011).

<sup>91</sup> Dorothy A. Kittel, *Trends in State Library Cooperation*. ([Washington, D.C.]: U.S. Dept. of Health, Education, and Welfare, Office of Education: For sale by the Supt. Of Docs., U.S. Govt. Print. Off., 1975), 11.

<sup>92</sup> Pearce S. Grove, Introduction to *Library Trends* 24, no. 2 (October 1975): 161-62. See also Boyd R. Keenan, “The Politics of Technological Forces in Library Collaboration,” *Library Trends* 24, no. 2 (October 1975): 183-90.

<sup>93</sup> In October 1973 President Nixon urged emergency funding for Israel following the Yom Kippur War, and Middle Eastern OPEC states targeted the United States and other western countries with an oil embargo. Economic repercussions reverberated, and only a month later, one *New York Times* headline read, “Rationing of Oil by States Urged” (November 13, 1973).

on the subject.”<sup>94</sup> Within these expansive reserves, he identifies a dearth of discussion regarding subsequent success or failure of these ventures. To appraise the setting, Kraus specifies variables to be examined over a seventy-five year period: “interlibrary lending, bibliographical access, specialization agreements, cooperative processing, and organization for cooperation.”<sup>95</sup> His research identifies contributory elements for successful library cooperation as including participant perceptions of a greater good outweighing individual loss, an expansive base of financial contributors, a proven technology, and a secure structure of committed participants.<sup>96</sup>

Edward Holley links professional associations and library cooperatives, beginning with the founding of ALA. He includes tables listing national, state, and regional associations and related details and makes what he identifies correctly as a common theme in scholarly literature, “cooperative efforts to achieve greater economy and efficiency in bibliographic control.”<sup>97</sup> Library professional associations provided a framework for and played a role in impetus of cooperative efforts at multiple levels.

In support of the funding of the Research Libraries Group, Douglas Bryant proposed in 1976 that, “if capability of responding to research needs is the true criterion of a research library’s strength, there is evidence that our research libraries, despite their impressive growth, are becoming weaker.”<sup>98</sup> He further emphasizes solicited communication from the institutional community as a critical element in considerations of improved service and deliberate variations.<sup>99</sup> One year later,

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<sup>94</sup> Kraus, 171.

<sup>95</sup> Ibid., 171.

<sup>96</sup> Ibid., 179.

<sup>97</sup> Edward G. Holley, “The Role of Professional Associations in a Network of Library Activity,” *Library Trends* (October 1975): 295.

<sup>98</sup> Douglas W. Bryant, “Strengthening the Strong: The Cooperative Future of Research Libraries,” *Harvard Library Bulletin* (January 1976): 6.

<sup>99</sup> Ibid., 9.

Charles Stevens regretted the lack of a template for library network development. He describes types and styles of administration for such entities and finds that a combination of written principles and participatory experience works toward network success. He includes mandatory elements for such achievement: coordination, collegiality, and consortia.<sup>100</sup>

Library network research appears in the “roller coaster” category of Stephen Atkins’s 1988 review of subject trends in library and information science publishing. He advocates evaluating movements impacting scholarly publications, delineates appropriate methodologies, and describes rising and declining trends. Atkins finds that, between 1975 and 1984, the bulk of publications on library networks corresponded to “the rise and fall of the popularity of national and regional networks,” with fifty-three percent occurring from 1977 to 1980.<sup>101</sup>

Greater availability of information for end-users swayed conservative naysayers, and public access to the Internet introduced a digital revolution in 1991. In his provocative consideration of “information as thing,” Michael Buckland concludes, “We are unable to say confidently of anything that it could not be information.”<sup>102</sup> This article encourages contemplation of knowledge representations and how objects and events inform. Some semblance of containing and allowing access became a critical factor because, as Buckland explains, “Varieties of ‘information-as-thing’ vary in their physical characteristics and so are not equally suited for storage and retrieval.”<sup>103</sup> Facilitating open passage to these conglomerations required concerted discernment and application of effective processes within society. Barbara Gray demonstrates how operationalization of

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<sup>100</sup> Charles H. Stevens, “Governance of Library Networks,” *Library Trends* (fall 1977): 224. For another discussion of early library cooperation in academic libraries, see David Weber, “A Century of Cooperative Programs among Academic Libraries,” *College and Research Libraries* 37 (May 1976): 205-25.

<sup>101</sup> Stephen E. Atkins, “Subject Trends in Library and Information Science Research, 1975-1984,” *Library and Information Research Science* (Spring 1988): 645.

<sup>102</sup> Michael Buckland, “Information as Thing,” *Journal of the American Society of Information Science* 42, no. 5 (June 1991): 356.

<sup>103</sup> *Ibid.*, 359.

collaboration evolved to include a number of factors, including common goals and expectations, shared authority, recognition and rewards, and equal voice.<sup>104</sup> Publicity for participants and their progress encouraged commitment from institutions of higher learning.

In 1992 Paul Mattessich and Barbara Monsey provided three succinct reasons for library cooperation: (1) funder approval; (2) reduced expenses; and (3) increased problem solving.<sup>105</sup> Particularly in challenging economic times, mutual participation sustains ongoing promotion of education, research, and service. Collaboration, in theory, connotes positive outcome for participants, but, in reality, analysis and calibration ensure steady progress. Arnold Hirshon identifies the 1990s as “the decade when organizations made the final leap from the industrial age to the service and information age.”<sup>106</sup> With emphasis on user access, Gay Dannelly’s exploration of resource sharing includes discussion of online public access catalogs (OPACs), rapid delivery systems, and interlibrary loans within an environment of progressive and traditional practices.<sup>107</sup>

With economic and political accents, Deanna Marcum writes of digital collections and research libraries in the United States.<sup>108</sup> Topics include ongoing price increases for acquisitions,

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<sup>104</sup> Barbara Gray, *Collaborating: Finding Common Ground for Multi-Party Problems* (San Francisco, CA: Jossey-Bass, 1989).

<sup>105</sup> Paul W. Mattessich and Barbara R. Monsey, *Collaboration: What Makes It Work: A Review of Research Literature on Factors Influencing Successful Collaboration* (St. Paul, MN: Amherst H. Wilder Foundation, 1992). Mattessich and Monsey focus on business, government, and academic structures to extrapolate factors and sub-factors of success. See also Paul W. Mattessich, Marta Murray-Close, and Barbara R. Monsey, *Collaboration: What Makes It Work: A Review of Research Literature on Factors Influencing Successful Collaboration*, 2<sup>nd</sup> ed. (St. Paul, MN: Amherst H. Wilder Foundation, 2001).

<sup>106</sup> Arnold Hirshon, “Library Strategic Alliances and the Digital Library in the 1990s: The OhioLINK Experience,” *Managing Technology* (September 1995): 383.

<sup>107</sup> Gay N. Dannelly, “Resource Sharing in the Electronic Era: Potentials and Paradoxes,” *Library Trends* 43, no. 4 (spring 1995): 663-78.

<sup>108</sup> Deanna B. Marcum, “Digital Libraries: For Whom? For What?” *Journal of Academic Librarianship* (March 1997): 81-84. For complementary articles, see Edward Shreeves, “Is There a Future for Cooperative Collection Development in the Digital Age?” *Library Trends* 45, no. 3 (winter 1997): 373-90; Glenda A. Thornton, “Impact of Electronic Resources on Collection Development, the Roles of Librarians, and Library Consortia,” *Library Trends* 48, no. 4 (spring 2000): 842-56; and Candy Schwartz, “Digital Libraries: An Overview,” *Journal of Academic Librarianship* 26, no. 6 (November 2000): 385-93.

shrinking federal subsidies, and potential impermanence of virtual compilations. She cautions of random repositories:

The convening and social functions of the library building are important contributions, but the intellectual integrity of collections, built and nurtured by knowledgeable individuals, is a lasting tribute to the scholarly community. This is the function that may not be readily accommodated in a digital library.<sup>109</sup>

She urges balance between “discovery and retrieval” and “content or collection building” in an evolving cooperative means of distribution.<sup>110</sup> Highlights include intellectual property rights and preservation. Marcum identifies and entwines all of these elements to describe the National Library Federation, a collaborative formed to investigate operating management practices.

In 2000, to initiate research into experiences of library consortia directors, Sara Laughlin sent an inquiry to an online discussion list of consortia directors requesting input about trends in the field of library networking.<sup>111</sup> Within three days she received forty responses from constituents and, subsequently, developed a monograph, ten chapters from ten contributors to the original listserv query. Topics range from technological challenges to educational upheaval to outstanding practices. This effort demonstrates that trends as observations and interpretations presented ripe opportunities for academic exploration.

The progression of library cooperation in reference arenas from “hierarchical systems of referral within state or regional cooperatives” to “virtual cooperative reference” earned mention in

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<sup>109</sup> Marcum, 82.

<sup>110</sup> Ibid., 83.

<sup>111</sup> Sara Laughlin, ed., *Library Networks in the New Millennium: Top Ten Trends* (Chicago: Association of Specialized and Cooperative Library Agencies, 2000). The InterLibrary Cooperation and Networking section (ICAN) of the Association of Specialized and Cooperative Library Agencies (ASCLA) includes a discussion group for Consortium Management within the ICAN listserv. <http://www.ala.org/ascla/asclaourassoc/asclasections/ican/ican> (accessed February 17, 2013).

Wendy Lougee's discussion of digital library resources. She predicts correctly that "greater integration of on-site and virtual services, integration of reference and technology expertise, and more finely specified tiers of service and referral" would evolve.<sup>112</sup> Reason Nfila and Kwasi Darko-Ampem follow the development of "library consortium" as a classification of cooperation among academic libraries in their article. Like Kraus, Potter, and Straw, these authors apply a wide brush to emphasize shifts in access to resources and improved service to users.<sup>113</sup> With stress on reduced costs, discussion centers on integrated library systems and databases, collection development, electronic journals, and staff development. In this 2002 publication, mention of the formation of the International Association of Library Consortia in 1997 demonstrates the universality and inclusiveness of confederation.

Charles Bourne and Trudi Hahn published a history of online information retrieval, covering 1963-1976.<sup>114</sup> In the introduction, the authors explain that their methods include conducting oral histories and establishing timelines for significant events. They identify "online pioneers" and emphasize the not-insignificant role that lay people played in effecting "user friendly" formatting to promote independent end-user searching. User intervention authenticated the tipping point for the technology revolution embraced by many and specifically by libraries.<sup>115</sup> Bourne and Hahn categorize the pioneers: (1) designers and developers, (2) managers, promoters, trainers, and

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<sup>112</sup> Wendy Pradt Lougee, *Diffuse Libraries: Emergent Roles for the Research Library in the Digital Age* (Washington, D.C.: Council on Library and Information Resources, 2002), 21.

<sup>113</sup> Reason Baathuli Nfila and Kwasi Darko-Ampem, "Developments in Academic Library Consortia from the 1960s through to 2000: A Review of the Literature," *Library Management* 23, nos. 4/5 (2002): 203-12.

<sup>114</sup> Charles P. Bourne and Trudi Bellardo Hahn, *History of Online Services, 1963-1976* (Cambridge, MA: MIT Press, 2003).

<sup>115</sup> While the phrase "tipping point" is not original to contemporary author Malcolm Gladwell, his bestseller *The Tipping Point* (New York: Little, Brown and Company, 2000) claims position in popular culture and identifies categories of influential participants in what he labels "social epidemics": connectors, mavens, and salesmen. The concept of these three principals—those who disseminate the information, exhibit specialized knowledge, and convince bystanders—presents intriguing opportunity for expanded application in corporate studies.



customer services representatives, and (3) users, accentuated for performing a range of valuable services. These “users” exhibited imagination and purpose; they roped in librarians and scientists; they “endur[ed] unreliable equipment” and “watched systems change even before they had mastered the existing versions.”<sup>116</sup> Research conducted through oral history in this study demonstrates how such persistence can precipitate a cohesive perspective of the development of successful online retrieval of information.

Providing a backdrop of four areas of academic library service and economic aspects, David Kohl and Tom Sanville present distinctions between cost effectiveness and cost savings in a 2006 article that justified budgeted resources. Their research targets expanded access and digital materials with OCLC as a representative model.<sup>117</sup> Subsequently, in a robust examination of library networks, the ALA Office for Research and Statistics published the results of a national survey conducted among library networks, cooperatives, and consortia. This tool determines organizational characteristics, types of libraries included in the organization’s membership, and purposes member libraries were assigned to serve. “Seven key informant interviews” supplement the survey results. This expansive effort demonstrates baseline and descriptive information to encourage ongoing analysis of the roles and contributions of the networks, cooperatives, and consortia.<sup>118</sup> Breakdowns of data collected by state are available.

Liz Bishoff discussed library-museum collaboration and digital preservation in 2009 to develop seven essential elements to ground such merged enterprises, and she appropriately targets

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<sup>116</sup> Bourne and Hahn, 409.

<sup>117</sup> David F. Kohl and Tom Sanville, “More Bang for the Buck: Increasing the Effectiveness of Library Expenditures Through Cooperation,” *Library Trends* 54, no. 3 (winter 2006): 394-410.

<sup>118</sup> *Library Networks, Cooperatives and Consortia: A National Survey* (Chicago: American Library Association, 2007), [n.p.], <http://www.ala.org/ala/research/librarystats/cooperatives/lccc/Final%20report.pdf> (accessed April 11, 2011).

the critical nature of bolstering the collaborative initiative.<sup>119</sup> As a nod to the staying power of library networks, the journal *Collaborative Librarian* launched in 2009.

### Analyses of Alabama Accomplishments

With participating agencies in mind, June Engle's 1987 dissertation analyzes preliminary collaborative library efforts in Alabama, Georgia, Kentucky, and Tennessee. She notes power, politics, and personality as critical factors. The perception of task force members as "movers and shakers" in the state and in local communities suggests that momentum for the effort would be sustained. Additionally, she finds that political buy-in from the executive and legislative branches of state government were necessary to begin and continue such a momentous task. A cooperative relationship between academic and public libraries was found to be an important element in determining success of a statewide library cooperative. Engle also establishes that a charismatic state library association leader played a critical role in achievement, and she notes Alabama's library association president as an example.<sup>120</sup>

Another 1987 dissertation focuses on statewide library cooperative programs in Alabama, Arkansas, Georgia, Louisiana, North Carolina, and Texas.<sup>121</sup> Vicki Gregory considers interactions between academic libraries and statewide coordinating agencies. She employs content analysis, survey, and interview methods to identify factors that positively affected the relationship between these entities and facilitated success through approval and funding. The discussion specific to

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<sup>119</sup> Liz Bishoff, "Seven Keys to Sustainable Digital Collaboratives," *Texas Library Journal* 85, no. 4 (winter 2009): 132-34.

<sup>120</sup> June Lester Engle. "The State Library Agency as a Policy Actor: An Examination of the Role of the State Library Agency in the Development of Statewide Multitype Library Networks in Four Southeastern States" (Ph.D. diss., Columbia University, 1987).

<sup>121</sup> Vicki Lovelady Gregory, "State Coordination of Higher Education and Academic Libraries" (Ph.D. diss., Rutgers, The State University of New Jersey, 1987).

Alabama includes individual participants and their contributions to the achievements of NAAL and ACHE.

Linda Cohen targets the early history of NAAL and describes how the shortcomings of academic library collections in Alabama triggered response for corrective steps. In her 1988 article, she finds that inadequate resources in academic libraries “consequentially reduced effectiveness of the libraries’ support of research.”<sup>122</sup> Naming ACHE as a supportive entity, Cohen trumpets NAAL’s Advisory Council and Executive Council and member libraries. She distinguishes the significance of the network’s calculated cooperation and discerning strategy undertaken with a watchful eye on administrative and political support.

In 1996 Patricia Harris published an inventory of eight Alabama multi-library initiatives, including NAAL; she offers description but no interpretation or analysis. Such an effort serves as a marker of accomplishments in the Alabama library cooperative timeline.<sup>123</sup> Absent Alabama, William Potter’s 1997 article describes five recently formed state academic library networks that provide access to electronic resources via the Internet, including Georgia’s GALILEO, Louisiana’s Library Network, Ohio’s OhioLink, Texas’s TexShare, and Virginia’s VIVA. OhioLink developed in 1992, and the remaining consortia evolved in 1994. Potter notes that, while the original notion of library cooperation sprang from sharing physical holdings, capturing offerings of electronic resources via the Internet resulted in expanded public appeal.<sup>124</sup> Echoing Kraus’s egalitarian bearing from two decades earlier, he asserts, “[I]here is an emerging vision of an electronic library for all citizens of

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<sup>122</sup> Cohen, 150.

<sup>123</sup> Patricia L. Harris, “Alabama: Multi-library Automation and Connectivity Initiatives,” *Library Hi Tech* 14, nos. 2/3 (1996): 33-38.

<sup>124</sup> William Gray Potter, “Recent Trends in Statewide Library Consortia,” *Library Trends* 45, no. 3 (1997): 431-32. This issue also includes Czeslaw Jan Grycz’s discussion of possible benefits of digital resources for libraries, “Resource Sharing in the Systemic Context of Scholarly Communication,” 499-517, and as well as additional articles on shared resources in library environments.

the state...a natural extension of the history of openness and freely available information that has characterized library development in this country for the past century.”<sup>125</sup> The Alabama venture, by this time, was well into negotiations to effect database sharing in K-12 educational environments and public libraries.

In his 1998 article, Delmus Williams, a self-described “old war horse” and academic librarian, holds up The University of Alabama as an example of the rationale and profitability of library cooperation:

In Alabama, the only way The University of Alabama could support a high powered research program and doctoral program in physics, engineering, material science and optics was through cooperation with the Redstone Scientific Information Center, a large special library supported by the federal Government. At the same time, the University Library was the only resource available for the large number of high school students in the area; and the public library was required to support the leisure reading of the both community users and the university community. Alone, none of these libraries could support all of their users. Together, information needs could be met. That is real benefit.<sup>126</sup>

Williams notes the evolution of “interlibrary cooperation to a kind of inter-organizational cooperation that is based on an entrepreneurial spirit.”<sup>127</sup> Barbara Allen and Arnold Hirshon use OhioLINK, the Pennsylvania Academic Library Connection Initiative (PALCI), and the Committee on Institutional Cooperation (CIC) to present case histories developed to tease out success elements common to library consortia.<sup>128</sup> The authors name NAAL in a listing of eighteen written survey

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<sup>125</sup> Potter, 431.

<sup>126</sup> Delmus E. Williams, “Defining Cooperation,” *Technical Services Quarterly* 16, no. 2 (1998): 3.

<sup>127</sup> *Ibid.*, 9.

<sup>128</sup> Barbara McFadden Allen and Arnold Hirshon, “Hanging Together to Avoid Hanging Separately: Opportunities for Academic Libraries and Consortia.” *Information Technology and Libraries* 17, no. 1 (March 1998): 39. Twelve Midwestern teaching and research universities composed the CIC. For additional information, see Barbara McFadden Allen and William A. Gosling, “Facing Change and Challenge through Collaborative Action: The CIC Libraries’ Experience,” in *Restructuring Academic Libraries: Organizational Development in the Wake of Technological Change*, ed. Charles A. Schwartz (Chicago: Association of College and Research Libraries, 1997), 121-38.

participants in their examination.<sup>129</sup> This study stresses the shift of academic libraries in the 1990s from independent providers of information to allied veterans through collaboration.

A later dissertation focuses on the effectiveness of different lobbying techniques to garner legislative support for funding expanded online access to databases for K-12 schools and public libraries in Alabama. Emphasizing the consequence of politics in state library activities, Stephanie Rollins used surveys to query 140 members of the 1999 Alabama State Legislature and 65 lobbyists for the Alabama Virtual Library (AVL). She points out that the support for “[f]unding for Alabama’s virtual library provided an example of one method of supporting educational equity and economy because it aimed to consolidate electronic information statewide and allocated public funds efficiently and beneficially.”<sup>130</sup> Rollins names persistent pursuit of varied communication channels among librarians, educators, and legislators as a primary force in the unanimous passage of the Education Trust Fund, which contained the line item for AVL appropriation in the Alabama Public Library Service budget.<sup>131</sup> Emphasis on “equity, economy, and excellence for all districts in Alabama” carried the day because this broad-based theme allowed experienced lobbyists to employ familiar techniques to effect legislator comprehension of the impact of the AVL in their districts throughout the state.<sup>132</sup> As Roderick Swartz pronounces, “There is a strong need for the library to explain its function to the user.”<sup>133</sup> Morgan identifies how librarians and educators collaborated with lobbyists

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<sup>129</sup> McFadden and Hirshon, 44.

<sup>130</sup> Stephanie Havron Rollins, “Alabama Virtual Library Lobbyists’ and State Legislators’ Perceptions of Effective State Lobbying Strategies” (Ph.D. diss., University of Alabama, 2006), 4.

<sup>131</sup> Sue O. Medina, “Alabama Virtual Library” (presentation, Montgomery, AL, September 7, 2007), <http://www.alex.state.al.us/librarymedia/AVLHistorySep07.ppt> (accessed February 9, 2011). Medina credited newly appointed APLS director, Lamar Veatch, “who embraced the AVL concept,” with ensuring selection of this agency as the fiscal agent for implementation purposes.

<sup>132</sup> Rollins, 73.

<sup>133</sup> Roderick G. Swartz, “The Need for Cooperation among Libraries in the United States,” *Library Trends* 24, no. 2 (October 1975): 224.

and “explained” by producing an AVL video and brochure and by facilitating the mailing of over 80,000 postcards from citizens to legislators voicing support for AVL over a three-month period. Recognized by the Southeastern Library and Information Network (SOLINET) as “outstanding,” Morgan’s 2001 account of the Alabama Virtual Library as a cooperative effort includes a section on success factors. Further, she reaffirms findings of Kraus and Mattessich and Monsey with presentation of critical components ranging from committed member partners, and external funding sources, to operational databases.<sup>134</sup>

## Methodology

### Historical Method

This study takes the form of qualitative research and employs historical method. Such interpretive research takes on explanation, description, and interpretation of events occurring between 1984 and 2009 and facilitates appreciation of the “broader psychological, social, political, or economic contexts in which research questions are situated.”<sup>135</sup> Edward Carr observes that history rendered “reflects our position in time, and forms part of our answer to the broader question what view we take of the society in which we live.”<sup>136</sup> Constructing historical studies mandates understanding and interpretation of evidence discovered through a systematic and rigorous approach.<sup>137</sup>

In defining history, what Charles Becker identifies as “things said and done” and what Gilbert Garraghan and Jean Delanglez label as “time and place” remain encompassed in the

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<sup>134</sup> Morgan, 50.

<sup>135</sup> Priscilla R. Ulin, Elizabeth T. Robinson, and Elizabeth E. Tolly, *Qualitative Methods in Public Health: A Field Guide for Applied Research* (San Francisco: Jossey-Bass, 2005), 139.

<sup>136</sup> Edward Hallett Carr, *What Is History?* (New York: Knopf, 1962), 5.

<sup>137</sup> For a detailed discussion of qualitative and historical methods, see Norman K. Denzin and Yvonna S. Lincoln, eds., *The Sage Handbook of Qualitative Research*, 3<sup>rd</sup> ed. (Thousand Oaks, CA: Sage Publications, 2008).

narrative, but interpretation validated by rigorous upholding of systematic methods produces a viable product.<sup>138</sup> Excluding “presentism,” evidence must be interpreted accurately through contemplation of the time period in which it was produced. Specifically, Christine Pawley lists story, preservation, public record, and documentation as the elements found in accomplished historical research.<sup>139</sup>

Searching for evidence to support research questions presents rich opportunities for exploration into sources. Both primary and secondary sources provide avenues, but primary sources serve as the foundation for historical research. These sources place the researcher closest to the time and place under study. Indications of historical events allow for strong interpretation and credible narrative. Richard Boyer grounds his discussion of how historians rely upon sources in Robin Winks’s collection, *The Historian as Detective: Essays on Evidence*, to introduce “how each gathers, evaluates, and makes inferences.” In his article, Boyer differentiates among authorities, evidence, and sources and then included capture of schema for abundant discourse.<sup>140</sup> Similarly, Barbara Tuchman states that she used “material from primary sources only” for her research because of “an immediacy and intimacy about them that reveal character and makes circumstances come alive.”<sup>141</sup> Both find that literal interpretation of discovered details provided a paucity of description. As Boyer states, “past events always consist of a text and a context.”<sup>142</sup>

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<sup>138</sup> Charles Becker, “Everyman His Own Historian,” *American Historical Review* 37, no. 2 (January 1932): 223; Gilbert J. Garraghan and Jean Delanglez, *A Guide to Historical Method* ([New York]: Fordham University Press, 1946), 7.

<sup>139</sup> Christine Pawley, “History in the Library and Information Science Curriculum: Outline of a Debate,” *Libraries and Culture* 40, no. 3, Perceiving the Past: Essays Honoring the Legacy of Donald G. Davis, Jr. (summer 2005): 223-38.

<sup>140</sup> Richard Boyer, “The Inquisitor, the Witness, and the Historian: The Document as Dialogue,” *Revista Canadiense de Estudios Hispánicos* 18, no. 3 (primavera 1994): 397, 401, <http://www.jstor.org/stable/27763134> (accessed April 14, 2011). Boyer points out similarities between practices employed by historians and detectives in his introductory reference to *The Historian as Detective: Essays on Evidence* by Robin W. Winks (New York: Harper and Row, 1969): 393.

<sup>141</sup> Barbara Tuchman, *Practicing History: Selected Essays* (New York: Alfred A. Knopf, 1981), 17, 19.

<sup>142</sup> Boyer, 398.

For this study, oral histories conducted with key participants produced documentation and analysis of their recollections, perceptions, and experiences regarding development and implementation of NAAL [see Appendix A]. Describing a targeted landscape, Boyd Childress reinforces such use of oral history in pursuit of Alabama library history: “Since many libraries in Alabama are products of the twentieth century, even the practice of oral history can be applied to the topic.”<sup>143</sup>

Oral histories provided by experts were mined for references related to the development and role of NAAL. Further, these conversations reached beyond description of NAAL to add what Willa Baum expresses as *lagniappe* in 1984: “The doing of an oral history project can help establish the identity of the individuals involved, and the pride and cohesion of a community.”<sup>144</sup> Likewise, Pawley addresses the significance of oral histories as information record as well as the value of an interdisciplinary approach to library and information studies.<sup>145</sup>

As primary evidence, these recollections were grounded in structured, consistent inquiries to allow for “the systematic recounting of past events.”<sup>146</sup> Review of collected primary documents, such as agendas, meeting minutes, and newsletters allowed for documented portrayal of NAAL’s evolutionary progression. Regarding such records, Terry Cook identifies an archival paradigm shift, one of content over form. He describes “a shift away from looking at records as the passive products of human or administrative activity and towards considering records as active agents,

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<sup>143</sup> Boyd Childress, “On Library History,” in *A Dynamic Tradition: The History of Alabama Academic Libraries From Their Establishment Through 1988*, ed. Vicki L. Gregory (Birmingham, AL: Birmingham Public Library Press, 1991), 7.

<sup>144</sup> Willa Baum, “The Other Uses of Oral History,” *Oral History Review* 34, no. 1 (2007): 24.

<sup>145</sup> Pawley, “History in the Library and Information Science Curriculum,” 230. Anthony Hatcher also discusses the multi-disciplinary aspect of oral history in his essay, “Oral History,” in *Research Methods in Communication*, ed. Shuhua Zhou and W. David Sloan (Northport, AL: Vision Press, 2009), 273-87.

<sup>146</sup> Charles Harter and Stephen P. Busha, *Research Methods in Librarianship: Techniques and Interpretations* (New York: Academic Press, 1980), 93.



themselves in the formation of human and organizational memory.”<sup>147</sup> Finally, parsing of secondary sources established credible narrative through diversity of perspectives and in footnotes—a travel map for those who prospect after the work is published. In their observations of information-seeking behaviors of historians and humanities scholars in library and archival collections, Wendy Duff and Catherine Johnson assert that reading secondary sources promotes interpretation of themes and that related tracing, or “chaining,” footnotes provided access to relevant material.<sup>148</sup>

Verification of appraisal within an historical research overlay mitigated potential error and bias and authorized this study to be what Norman Denzin and Yvonna Lincoln describe as a “sequence of representations connecting the parts to the whole.”<sup>149</sup> Because “no investigation should be viewed in a static fashion,” the rigor of evidence assessment resulted from mixed approaches.<sup>150</sup>

External and internal criticism of evidence includes evaluating (1) authenticity and (2) credibility, respectively, of primary sources. David Sloan and Michael Stamm detail best practices of exploration for the “object of investigation.”<sup>151</sup> Validating authenticity of evidence includes possible

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<sup>147</sup> Terry Cook, “Archival Science and Postmodernism: New Formulations for Old Concepts,” *Archival Science* 1, no. 1 (2001): 4.

<sup>148</sup> Wendy M. Duff and Catherine A. Johnson, “Accidentally Found on Purpose: Information-Seeking Behavior of Historians in Archives,” *Library Quarterly* 72, no. 4 (October 2002): 477, <http://www.jstor.org/stable/40039793> (accessed January 31, 2011). For earlier analyses of research trails and footnotes, see Margaret F. Stieg, “The Information of Needs of Historians,” *College and Research Libraries* 4, no. 2 (November 1981): 549-60, and Helen R. Tibbo, *Abstracting, Information Retrieval and the Humanities: Providing Access to Historical Literature* (Chicago: American Library Association, 1993). For an updated version of the Stieg article, see Margaret Stieg Dalton and Laurie Charnigo. “Historians and Their Information Sources,” *College and Research Libraries* 65, no.5 (September 2004): 400-25. For a broader examination of information-seeking behavior see Donald O. Case, *Looking for Information: A Survey of Research on Information Seeking, Needs, and Behavior* (Amsterdam: Elsevier, 2007).

<sup>149</sup> Norman K. Denzin and Yvonna S. Lincoln, “Introduction to The Discipline and Practice of Qualitative Research” in *The Sage Handbook of Qualitative Research*, 3<sup>rd</sup> ed., ed. Norman K. Denzin and Yvonna S. Lincoln (Thousand Oaks, CA: Sage Publications, 2008), 6.

<sup>150</sup> Norman K. Denzin, *The Research Act: A Theoretical Introduction to Sociological Methods* (1970; repr., New Brunswick, NJ: Aldine Transaction, 2009), 310.

<sup>151</sup> William David Sloan and Michael Stamm, *Historical Methods in Communication*, 3<sup>rd</sup> ed. (Northport, AL: Vision Press, 2010), 195.

considerations of handwriting, authorship, document format, paper physicality, and era produced. Any damage to documents incurred through duplication cannot be overlooked.<sup>152</sup> Of equal import, the persuasiveness of the primary document can be gleaned through internal appraisal. Sloan and Stamm include four criteria for consideration in credibility: interpretation of the text, existence of corroborating evidence, source authority, and source compliance. As such, elements of language, logic, competency, and confidentiality can serve to validate evidence as sources are collected.<sup>153</sup> Evidence carefully scrutinized promoted explanation of how or why events occur, details, correlation of concepts to experiences, and discovery of unforeseen outcomes.<sup>154</sup>

### Oral History

Oral histories provide abundant resources for historical research. Linda Shopes credits Allan Nevins of Columbia University with developing “a systematic and disciplined effort to record on tape, preserve, and make available for future research recollections deemed of historical significance.”<sup>155</sup> From the early part of the twentieth century, when Works Progress Administration employees interviewed surviving former slaves, to Studs Turkel’s history of the Depression, to Edward R. Murrow’s *This I Believe* radio program and its current revival, to David Isay’s National Public Radio (NPR) story projects of Sound Portraits and StoryCorps, to the Library of Congress’s

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<sup>152</sup> Sloan and Stamm, 200-01, 210-13.

<sup>153</sup> The recent scandal at the U.S. National Archives (NARA) involving a handwritten document signed “A. Lincoln” demonstrates the critical nature of authenticity. NARA’s press release on January 24, 2011, describes how an established Lincoln historian, Thomas Lowry, altered the date on an Abraham Lincoln Presidential pardon for a Civil War soldier to bolster his own scholarship. Trevor Plante, an Archives staff member, noticed ink variations on the document, and, ironically, the Office of the Inspector General contacted Lowry for assistance in the initial investigation. See “National Archives Discovers Date Change on Lincoln Record,” <http://www.archives.gov/press/press-releases/2011/nr11-57.html> (accessed January 26, 2011).

<sup>154</sup> Anne Sigismund Huff includes a comparison among methods of research inquiry in *Designing Research for Publication* (Thousand Oaks, CA: Sage, 2009), 184-85. This engaging study describes approaches to developing innovative scholarship grounded in researcher interest with culmination in timely publication.

<sup>155</sup> Linda Shopes, “What Is Oral History?” From the Making Sense of Evidence series on *History Matters: The U.S. Survey on the Web*, <http://historymatters.gmu.edu/mse/oral/what.html> (accessed February 10, 2011).

Veterans History Project of the American Folklife Center, oral histories document and enrich the history of the United States.<sup>156</sup>

Structured interviews, defined as narrative rather than conversation in *Catching Stories*, focus on identifying success factors in the history of NAAL from 1984 to 2009.<sup>157</sup> Investigations occur in natural settings, and the narrative reflects detailed views of informants.<sup>158</sup> In collected oral histories, prepared research questions and follow-up prompts guide interaction between the researcher and the participants, but the voltage lies in expanded opportunity for response through open-ended, on-target inquiries. As such, oral history methods of gathering and documentation occur within a controlled, but still dynamic, environment.

Themes identified by Mattessich and Monsey in ongoing analyses of collaboration provide pillars for interview inquiries.<sup>159</sup> Anticipated response threads include issues surrounding legislative, technological, and fiscal challenges and support for NAAL that have occurred over twenty-five years as well as exploration of cultural and societal contexts in which the consortium was implemented and expanded. Oral interviews are triangulated with corroborating research conducted at ACHE and through the Alabama Department of History and Archives and with newspaper and journal articles

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<sup>156</sup> Isay underscores his personal validation of the collection and preservation of oral history rendered by mainstream Americans with his explanation that such demonstration “paints a picture of who we were and how we lived in the twentieth and twenty-first centuries” in the United States. In *Listening Is an Act of Love*, ed. David Isay (New York: Penguin Press, 2007), 163.

<sup>157</sup> Donna M. DeBlasio et al., *Catching Stories: A Practical Guide to Oral History* (Athens, OH: Ohio University Press, 2009), 90. This cadre of scholar-practitioners shepherds the Oral History Institute, held each summer at Kenyon College and sponsored by the Ohio Humanities Council and the Rural Life Center at Kenyon College, in cooperation with the Ohio Association of Historical Societies and Museums and the Ohio Historical Society. The author attended this gathering in June 2010 with the generous assistance of a Jewell Sandoval Endowed Student Support Fund grant, University of Alabama School of Library and Information Studies.

<sup>158</sup> *An Oral Historian's Work, with University of Maine Folklore Professor Edward D. (Sandy) Ives*. DVD. Produced by David Weiss and Karan Sheldon. Bucksport, ME: Northeast Historical Film, 1989.

<sup>159</sup> Mattessich and Monsey, 1992.

as well as monographs. The primary and secondary sources validate and provide context for research findings.

Preliminary evidence collection was conducted in three segments. The first phase included exploration of published secondary sources for context specific to research questions. The second phase involved oral histories with key participants in the NAAL development group, former and current executive board members, and former and current advisory board members. Candidates were selected as “not simply objects of study but part of the community of discourse” surrounding NAAL.<sup>160</sup> Finally, the third phase incorporated examination of primary documentation, published and unpublished, pertinent to planning, development, and practices of the library network in Alabama and to interaction among related shareholders.

Generally, oral history involves open-ended, individualistic interviewing.<sup>161</sup> With written and oral histories, identities and qualifications of subjects provide opportunity for corroboration with complementary evidence.<sup>162</sup> Alistair Thomson observes that, while researchers delve about for pragmatic substantiation, idiosyncratic interpretations allow for exploration of “how past events have impacted upon individuals and societies...and the subjective meanings of these events for participants, at the time and over the years.”<sup>163</sup> Accordingly, oral history presents lush landscapes

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<sup>160</sup> Ronald J. Grele and Studs Terkel, *Envelopes of Sound: Oral History*, 2<sup>nd</sup> ed. (New York: 1991), 272.

<sup>161</sup> NPR “Fresh Air” host Terry Gross summarizes interviewing: “Whatever you have, use it. If you are confused, use that. If you have raw curiosity, use that. If you have experience, use that. If you have a lot of research, use that. But figure out what it is you have, and make it work for you.” In Thomas Kunkel, “Interviewing the Interviewer,” *American Journalism Review* (July/August 2001): 60.

<sup>162</sup> Donald A. Ritchie, *Doing Oral History* (New York: Oxford University Press, 2003).

<sup>163</sup> Alistair Thomson, “Making the Most of Memories: The Empirical and Subjective Value of Oral History,” *Transactions of the Royal Historical Society*, Sixth Series, Vol. 9 (1999): 301.

substantiated by individual hesitation, interjection, and association—what anthropologist Clifford Geertz labels “thick description.”<sup>164</sup>

### *Subject Protection*

The author complied with non-regulatory guidance about design and conduct of research published by the Oral History Association (OHA) and American Historical Association (AHA). These principles and best practices include topics of pre-interview preparations, rights and responsibilities, copyright, preservation, and access. Oral history participants should be protected from exploitation and should be permitted to withdraw from the interview at any time.<sup>165</sup> Interviews were recorded on a medium that meets archival standards. Conditional to the written agreements with participants, the repository, and the author, interview materials, including recordings, transcripts, agreements, and documentation of the interview process, will be deposited at the Alabama Department of Archives and History (ADAH) in Montgomery after a reasonable period of time.<sup>166</sup>

With ongoing emphasis on protecting human subjects in the research environment and pursuant to federal regulations and University policy, this proposal was sent for comprehensive study to the research oversight representative of the College of Communication and Information

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<sup>164</sup> Clifford Geertz, “Thick Description: Toward an Interpretive Theory of Culture,” in *The Interpretation of Cultures: Selected Essays by Clifford Geertz* (New York: Basic Books, 1973), 3-30. Geertz describes adopting this phrase from English philosopher Gilbert Ryle, who argues that human gestures, having multiple layers of meaning, were conveyed through symbols used by a culture.

<sup>165</sup> For discussion, see “Principles and Best Practices: Principles for Oral History and Best Practices for Oral History,” <http://www.oralhistory.org/do-oral-history/principles-and-practices/> (accessed January 12, 2011) and “Statement on Standards of Professional Conduct,” <http://www.historians.org/pubs/Free/ProfessionalStandards.cfm> (accessed January 12, 2011). See also Robert B. Townsend and Mériam Belli, “Oral History and IRBs: Caution Urged as Rule Interpretations Vary Widely,” *Perspectives* (2004), “News” column, <http://www.historians.org/Perspectives/Issues/2004/0412/0412new4.cfm?pv=y> (accessed January 12, 2011).

<sup>166</sup> Oral History Association, “2000 Oral History Evaluation Guidelines,” <http://www.oralhistory.org/do-oral-history/principles-and-practices/oral-history-evaluation-guidelines-revised-in-2000/> (accessed April 4, 2011).

Sciences and to the Institutional Review Board (IRB) at The University of Alabama [see Appendix B].<sup>167</sup> No participants were involved in this study prior to the completion of these reviews.

Approximately ten interviews were considered, and seven were completed. All participants were cognitively able to consent to participate in this study, and no participant was excluded based upon race, ethnicity, religion, or sexual orientation.

The author did not anticipate any major risks for participants in this study. Participants arranged times and locations of interviews to diminish possible inconvenience. They were permitted to terminate participation at any time and to then reschedule or withdraw from the study without explanation.

Participants received no remuneration for participation in this study. They should not have perceived any type of coercion to participate in the study.

### **Limitations**

For NAAL, established geographic boundaries for Alabama limit the scope. However, as a forerunner in successful state library cooperation with a twenty-five-year history, NAAL presents an authentic opportunity to ponder the underpinnings of early adaptors of procedural standardization and practical economics in the promotion of equitable access to information.<sup>168</sup> Primary sources used in this study include oral histories from contributors, but the lapse of time between events and recording could have impacted the accuracy of recollection. In a forthright explanation of his own

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<sup>167</sup> The author completed the Collaborative Institutional Training Initiative (CITI) human research curriculum for non-medical investigators on November 4, 2010.

<sup>168</sup> Reinforcing such far-reaching implications in her overview of library and information studies curriculum, Christine Pawley includes a blanket class perspective: "What is the nature of the information infrastructure? Who decides what and how information should be produced and for whom? Who benefits? Who does not?" In "Hegemony's Handmaid? The Library and Information Studies Curriculum from a Class Perspective," *Library Quarterly* 68, no. 2 (April 1998): 131.

research exploits, Culpepper Clark describes incorporating oral histories to capture events surrounding desegregation of The University of Alabama:

I often wished my informants were unavailable and longed for the simplicity of archival research. I would not then be bothered with the contrast between their unfolding, not-yet-finished truths and the documentary trail of what they had done at some particular moment in time. This tension between memory and its subject matter, past thoughts and actions is especially taut in a drama like civil rights where good and evil are sharply etched and where ending up on the “right” side can be so important in establishing self-worth.”<sup>169</sup>

As direct participants, those being interviewed may struggle with objectivity because of their own critical roles in NAAL’s development. Echoing Clark’s observations, Alessandro Portelli asserts that, while documents suffer from distance of time and space, in reality oral sources “might compensate chronological distance with a much closer personal involvement” and that “the inherent nonobjectivity of oral history lies in specific intrinsic characteristics: the most important being that they are artificial, variable, and partial.”<sup>170</sup> Because explication may be expected in bundling of oral histories, the author will inevitably filter responses from participants.

Finally, the author’s personal bias includes an experiential knowledge base since the author holds a position as librarian at The University of Alabama, an early contributor to NAAL’s development. Additionally, the author acknowledges acquaintance with databases available through NAAL member libraries, practiced online research skills, and ongoing support of citizen access to information. All of these can influence the relationship between the interviewer and the interviewee as well as the subsequent interpretation of data.

Martha Howell and Walter Prevenier argue that perspective impacts history: “In writing these stories, however, historians do not discover past as much as they create it; they choose the

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<sup>169</sup> E. Culpepper Clark, “Reconstruction History: The Epitomizing Image,” in *Interactive Oral History Interviewing*, ed. Eva M. McMahan and Kim Lacy Rogers (Hillsdale, NJ: Lawrence Erlbaum Association, 1994), 20.

<sup>170</sup> Alessandro Portelli, “What Makes Oral History Different,” in *The Oral History Reader*, 2<sup>nd</sup> ed., ed. Robert Perks and Alistair Thomson (New York: Routledge, 2007), 37, 38.

events and people that they think constitute the past, and they decide what about them is important to know.”<sup>171</sup> Recently Wayne Flynt described the historian and associated “complex identities” and identified “tension between someone shaped by cultures and shaped by profession and at the same time pushing back against these multiple identities trying to find the path of fairness and equity and balance and truth as an historian.”<sup>172</sup> Validating Flynt’s comments, Valerie Yow admonishes, “What we value comes from thinking about our own experiences.”<sup>173</sup> The author’s outlook as a librarian investigating the history of a professional library network contributes insight into the organizational operations, background, and impact and promotes useful contribution to this professional field through collection of multiple participant perspectives within local contexts.

## Framework

### Life Cycle

Organizational evolution can be traced through an identifiable life cycle consisting of “a consistent pattern of development and the differing characteristics associated with the various stages.”<sup>174</sup> Both external and internal factors impact corporate progress.<sup>175</sup> Since the mid twentieth century, a wide range of scholarship has documented parallel opportunities and challenges faced by a

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<sup>171</sup> Martha Howell and Walter Prevenier, introduction to *From Reliable Sources: An Introduction Historical Methods* (Ithaca, NY: Cornell University Press, 2001), 1.

<sup>172</sup> Wayne Flynt, “Reflections on My Life in Alabama History,” *Architreats: Food for Thought 2009*, <http://www.aptv.org/APTPLUS/Digitalibrary/digitalmediadetail.asp?ConVidID=220> (accessed April 4, 2011).

<sup>173</sup> Valerie Yow, “‘Do I Like Them Too Much?’ Effects of the Oral History Interview on the Interviewer and Vice-Versa,” in *The Oral History Reader*, 2<sup>nd</sup> ed., ed. Robert Perks and Alistair Thomson (New York: Routledge), 63.

<sup>174</sup> H. Robert Dodge, Sam Fullerton, and John E. Robbins, “Stage of the Organizational Life Cycle and Competition as Mediators of Problem Perception for Small Businesses,” *Strategic Management Journal* 15, no. 2 (February 1994): 121-34, <http://www.jstor.org/stable/2486867> (accessed June 23, 2012).

<sup>175</sup> Douglas Scott Fletcher and Ian M. Taplin, *Understanding Organizational Evolution: Its Impact on Management and Performance* (Westport, CT: Quorum Books, 2002): 1.



broad spectrum of organizations.<sup>176</sup> Development occurs in structured and recognizable patterns found in stages of beginning, growing, maturing, renewing and, irregularly, and declining. As “a framework for the study of development,” the life cycle concept offers structure for display of evidence characterizing organizational activity.<sup>177</sup>

In a frequently cited design, Robert Quinn and Kim Cameron integrate nine life cycle models to produce a four-level summary model, including “different factors to explain the changing characteristics of organizations over time.”<sup>178</sup> Steven Hanks, Collin Watson, Erik Jansen, and Gaylen Chandler argue that “life-cycle stages could be defined and operationalized as unique configurations of organization content and strategy” a decade later.<sup>179</sup> They seek to discover and codify underlying perceptions within four distinct life-cycles; “start-up, expansion, maturity, and early diversification,” to provide a “picture of growth stages...and a baseline for comparison.”<sup>180</sup> Joseph Matthews explains that a critical value “of a framework is that it encourages the use of a few key measures from the plethora of those available.”<sup>181</sup>

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<sup>176</sup> For seminal works in the development of corporate life cycle scholarship, see Ralph C. Davis, *The Fundamentals of Top Management* (New York: Harper, Row and Brothers, 1951); Alfred D. Chandler, Jr., *Strategy and Structure: Chapters in the History of the American Industrial Enterprise* (Cambridge, MA: MIT Press, 1961); and Larry E. Greiner, “Evolution and Revolution as Organizations Grow,” *Harvard Business Review* 50, no. 4 (July-August 1972): 37-46.

<sup>177</sup> Angela M. O’Rand and Margaret L. Krecker, “Concepts of the Life Cycle: Their History, Meanings, and Uses in the Social Sciences,” *Annual Review of Sociology* 16 (1990): 242.

<sup>178</sup> Robert E. Quinn and Kim Cameron, “Organizational Life Cycles and Shirting Criteria of Effectiveness: Some Preliminary Evidence,” *Management Science* 29, no. 1 (January 1983): 34.

<sup>179</sup> Steven H. Hanks, Collins J. Watson, Erik Jansen, and Gaylen N. Chandler, “Tightening the Life-Cycle Construct: A Taxonomic Study of Growth Stage Configurations in High-Technology Organizations,” *Entrepreneurship: Theory and Practice* 18, no. 2 (winter 1993): 14.

<sup>180</sup> *Ibid.*, 23.

<sup>181</sup> Joseph R. Matthews, “Assessing Organizational Effectiveness: The Role of Performance Measures,” *Library Quarterly* 81, no. 1 (January 2011): 107, <http://www.jstor.org/stable/10.1086/657447> (accessed June 27, 2012).

To ensure order in this historical study perspective, aspects of organizational effectiveness are detailed for each life cycle stage.<sup>182</sup> Judith Sharken Simon developed a model delineating five life stages of nonprofit organizations. She, too, argues that, while “[e]very organization is unique...there are patterns and similarities across organizations.”<sup>183</sup> Table 1 represents details of this composite:

**Table 1: Simon’s Five Life Stages of Nonprofit Organizations**<sup>184</sup>

<u>Development</u>	<u>Descriptors</u>	<u>Patterns</u>
Stage One	“Imagine and Inspire”	Development
Stage Two	“Found and Frame”	Organization
Stage Three	“Ground and Grow”	Accountability
Stage Four	“Produce and Sustain”	Stability
Stage Five	“Review and Renew”	Innovation

Simon names external and internal influences to be observed throughout organizational life cycles:

“age, size, growth rate of its field, social environment, and...primary leader’s characteristics.”<sup>185</sup>

Accordingly, the Simon summary model was extended throughout this study of NAAL’s history to offer a framed presentation of evidence collected through oral and written histories and to specify undertakings of twenty-five years.<sup>186</sup> From initial concepts to applied diversifications, documentation of NAAL’s life cycle depicted integration of the “digital revolution and information technologies” and the “profound effect on organization structures” in Alabama’s library collaborations and overarching network.<sup>187</sup>

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<sup>182</sup> Quinn and Cameron, 41.

<sup>183</sup> Judith Sharken Simon, *The Five Life Stages of Nonprofit Organizations: Where You Are, Where You're Going, and What to Expect When You Get There* (Saint Paul, MN: Amherst H. Wilder Foundation, 2001), 3.

<sup>184</sup> Simon, 5-6.

<sup>185</sup> *Ibid.*, 9.

<sup>186</sup> Ans Heirman and Bart Clarysse argue, “The link between resources and environmental and contextual factors cannot be understood by looking at resources in isolation but should be grounded in configurationally thinking.” See “How and Why Do Research-Based Start-Ups Differ at Founding? A Resource-Based Configurational Perspective,” *Journal of Technology Transfer* 29 (2004): 248.

<sup>187</sup> Fletcher and Taplin, preface, xi.

## **Organization**

Following the introduction to this study, the remainder is divided into seven subsequent chapters, including the conclusion. In keeping with the targeted emphases, Chapters 2 through 7, inclusive, include application of the life cycle conceptual framework. Chapter 2 provides an overview of conditions that prompted NAAL's realization. Chapter 3 highlights the network's development from initial concept to basic structure. Chapters 4 and 5 include characteristics of a viable cooperative entity. Chapter 6 describes events and personalities that facilitated and those that frustrated the effort, and Chapter 7 considers the outcomes demonstrated statewide and beyond. Finally, Chapter 8 offers conclusions and implications for this study.

## CHAPTER TWO

### PRELUDE TO A NETWORK

“From the viewpoint of the information poor, and to a certain extent that of the information rich, it is necessary to reevaluate information and library services to determine which are important, and to ascertain the types and extents of information needs.”

–Roderick G. Schwartz, “The Need for  
Cooperation Among Libraries in the United States,”  
*Library Trends* (October 1975)

#### **Early Circumstances**

The latter half of the twentieth century ushered in “research and publication on library history” and “awareness and discussion of historical issues in librarianship.”<sup>188</sup> As improved funding boosted publication of scholarly literature, physical and fiscal limitations in library settings drove innovation. Themes of interlibrary loan, streamlined bibliographic efforts, expedited access, and purposeful preservation punctuated library discussions, foreshadowing the establishment of the Network of Alabama Academic Libraries (NAAL). This “boom” and the resultant “world without walls” encouraged library cooperation following the Depression and Second World War.<sup>189</sup> The influence of technology Margaret Egan wrote about in 1955 loomed large as the 1960s dawned.

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<sup>188</sup> American Library Association, “Library History Round Table (LHRT)” <http://www.ala.org/lhrt/> (accessed January 29, 2012). The LHRT commenced in 1949.

<sup>189</sup> Straw, 269, 271.

## Roots in Technology

The Advanced Research Projects Agency Network (ARPANET), “the precursor to what became known as the Internet,” developed out of the Stanford Research Institute (SRI).<sup>190</sup> SRI held professional connections with both the U.S. Department of Defense and the Advanced Research Projects Agency (ARPA), a U.S. Department of Defense subsidiary. Charles Bourne and Trudi Hahn noted momentous developments linked to ARPANET that occurred in 1963, including demonstrations of local and remote searches as well as displays (abstracts with bibliographic and full-text records), user-designated display options, and human-machine interaction via CRT terminals.<sup>191</sup>

By 1967, the Ohio College Library Center (OCLC) launched as a regional network to support shared cataloging services among libraries in Ohio. Ten years later, this nonprofit organization expanded to include libraries beyond Ohio state lines and to allow access to its online network of bibliographic data through its union catalog. Alabama began participating in OCLC in 1975.<sup>192</sup> OCLC altered its legal name to OCLC Online Computer Library Center in 1981 to more accurately reflect its mission of “connecting people to knowledge through library cooperation.”<sup>193</sup> Barbara Moran captures the significance of such technological impetus: “When library historians

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<sup>190</sup> Bourne and Hahn, 13.

<sup>191</sup> Ibid., 14-16. Wayne Wiegand, too, underscores the influence of technology’s influx in the mid twentieth century: “The application of computers to document reference retrieval began in the late 1950s, and, by the mid- 1960s, online retrieval was widely used by special librarians in government and industry.” In Wayne Wiegand, “Tunnel Vision and Blind Spots: What the Past Tells Us about the Present; Reflections of the Twentieth-Century History of Librarianship,” *Library Quarterly* 69, no. 1 (January 1999): 21.

<sup>192</sup> Alabama Council on Higher Education, Council of Librarians, *Cooperative Library Resource Sharing*, 72. Here, OCLC was defined as “a not-for-profit computer library service and research organization based in Dublin, Ohio.”

<sup>193</sup> “History of OCLC,” <http://www.oclc.org/uk/en/about/history/default.htm> (accessed February 3, 2012). For additional information of the history of OCLC, see Ann Marie Allison and Ann Allan, *OCLC: A National Library Network* (Short Hills, NJ: Enslow Publishers, 1979); Kathleen L. Maciuszko, *OCLC: A Decade of Development, 1967-1977* (Littleton, CO: Libraries Unlimited, 1984); and Albert F. Maruskin, *OCLC: Its Governance, Function, Financing, and Technology* (New York: M. Dekker, 1980).

look back upon the period from the late 1960s through the 1990s, it is likely that they will see the introduction of the new technologies as the driving force behind most of the changes in academic libraries during that era.”<sup>194</sup>

Moran’s 1984 perspective reinforces Christine Borgman’s subsequent observations concerning the goals of library automation: “(1) efficiency of internal operations, (2) access to local library resources, and (3) accesses to resources outside the library.”<sup>195</sup> Reaching beyond individual institutions, the development of library consortia, such as NAAL, emphasized assimilation of technological advances to enhance shared resources and minimize expenditures.

### **Advocacy for Alabama Libraries**

In October of 1969, the first Governor’s Conference on Alabama Libraries took place in Montgomery to encourage “public interest, participation, and support in the development of a long-range plan for the libraries of the state.”<sup>196</sup> The emphasis on such an obligation indicated a perceived need to safeguard these institutions statewide. Ten years later in 1979, another meeting of Alabama’s Conference on Library and Information Services sought out “public participation in defining state and national goals for the development of future library and information services.”<sup>197</sup> That gathering included addresses by Governor George Wallace, journalist Bob Ingram, and Alabama Public

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<sup>194</sup> Barbara B. Moran, *Academic Libraries: The Changing Knowledge Centers of Colleges and Universities* (Washington, D.C.: Association for the Study of Higher Education, 1984): 6.

<sup>195</sup> Christine Borgman, “From Acting Locally to Thinking Globally: A Brief History of Library Automation,” *Library Quarterly* 67, no. 3 (July 1997): 218.

<sup>196</sup> “Alabama, Public Library Service (1959-).” This description of the First Governor’s Conference on Alabama Libraries in 1969 and the Alabama Governor’s Conference on Library and Information Services in 1979 includes addresses and remarks by John Hall, Michael Thomason, Guin A. Nance, Leah Rawls Atkins, William D. Barnard, Tennant S. McWilliams, Anthony Miele, and Robert Ingram. Governor’s Conference Files, 1969-1980, Alabama Department of Archives and History, Montgomery, Alabama. Albert P. Brewer was governor of Alabama at the time of the First Governor’s Conference on Alabama Libraries. The 1979 conference was held in preparation for the National White House Conference on Library and Information Services held in Washington, D.C., November 15-17, 1979.

<sup>197</sup> Alabama Public Library Service.

Library Service Director Anthony Miele.<sup>198</sup> Such forums predicted growing emphases on the role of libraries in Alabama.

### **Significance of ACHE**

The prequel to NAAL reaches back to the seminal year of 1969 and the establishment of the Alabama Commission of Higher Education (ACHE, the “Commission”) as “the state agency responsible for the overall statewide planning and coordination of higher education in Alabama, the administration of various student aid programs, and the performance of designated regulatory functions.”<sup>199</sup> The Alabama Governor, Lieutenant Governor, and Speaker of the House appointed members to the ACHE board, and the Senate then confirmed the twelve lay members of this state agency. ACHE includes appointed advisory councils [see Appendix C]. Not a regulatory organization, ACHE is charged with making recommendations to the Governor and Legislature with regard to postsecondary education in the state. Elizabeth French, longtime director of ACHE’s Office of Institutional Effectiveness and Planning, strongly encouraged that this study perspective include years preliminary to NAAL’s official establishment in 1984. She stressed, “It’s kind of important to know that the Commission was established as enabling legislation in 1969.”<sup>200</sup> The ACHE executive director holds membership on NAAL’s Advisory Board.

### **Dearth of Resources**

Clanton Williams served as the first executive director of ACHE. In 1971, he addressed the Birmingham Kiwanis to express his preliminary concerns regarding conditions impacting Alabama education, expressing that “with you I am getting sick of hearing the ugly facts about how poor we

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<sup>198</sup> Alabama Public Library Service.

<sup>199</sup> Alabama Commission on Higher Education, “Mission Statement. <http://www.ache.alabama.gov/AboutUs/Mission.htm> (accessed January 30, 2012).

<sup>200</sup> Elizabeth French, interview by author, Montgomery, AL, November 17, 2011.

are” and that “it isn’t pleasant to know that last year our per capita income was forty-three percent below the national average.”<sup>201</sup> Three years later he levied a specific charge through a straightforward exclamation, “Our libraries are terrible!” He continued with a reference to Alabama’s thirteen universities and forty-eight two-year institutions:

Alabama now has from three to four times as many state-supported post-secondary educational institutions as it needs...The national ratio is one to 450,000 people; Alabama’s is one to 270,000...Now it is a demonstrated fact that per capita income and level of learning go hand in glove everywhere. Alabamians, living in a beautiful, richly endowed state year after year, stand forty-eighth or forty-seventh among the Union’s states in per capita income.<sup>202</sup>

Stereotypes of economic conditions in the South are longstanding, and Alabama has not been excluded from such conversation in bygone or contemporary times.<sup>203</sup> Eugene Griessman reviews complications Alabama faced in building up academic libraries:

For many years the region has been marked by bleak...poverty. The Great Depression was a hardship for the entire nation, but it was a disaster for the South. Before the Depression, it was Reconstruction. So poverty is the Southern birthright, and that heritage has an impact on the way Southerners think about spending money. In general, the attitude is that of a penny-pinch. Moreover, the region’s poverty is a disadvantage for further development. The Matthew Principal is evident everywhere: “To him that hath, more shall be given; but to him that hath not, from him shall be taken away that which he seemeth to have.”<sup>204</sup>

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<sup>201</sup> Clanton Ware Williams, “On Getting Alabama Out of the Basement,” Address to Birmingham Kiwanis Club, March 23, 1971. W. S. Hoole Special Collections Library, University of Alabama, Tuscaloosa.

<sup>202</sup> Clanton Ware Williams, “I Cringe Every Time I Read . . . Figures on Quality of Education in Alabama,” *Alabama Journal* (November 24, 1974): 2B-2C. W. S. Hoole Special Collections Library, University of Alabama, Tuscaloosa.

<sup>203</sup> In her study on class and popular culture, Diana Kendall applies a sociological lens and observes, “Linkages between [sic] poverty, region, and race were quite evident in the framing of stories about the poor in the South. Referring to articles published in the latter years of the nineteenth century, she continues, “Northeastern newspapers like the *New York Times* periodically published articles informing urban dwellers how bad off the poor were in the South, particularly in the former slave states.” In *Framing Class: Media Representations of Wealth and Poverty in America* (Lanham, MD: Rowman Littlefield Publishing Group, 2005), 98.

<sup>204</sup> B. Eugene Griessman, “Will the South Rise—Or Just Roll Over?” *The Washington Post* (August 30, 1975): A10. <http://search.proquest.com/docview/146378225?accountid=14472> (accessed January 29, 2012). Griessman served as chair of the Sociology and Anthropology at Auburn University at the time of this publication.



He continues, “Most of the South’s colleges and universities closed during the Civil War, and had trouble rebuilding during Reconstruction...the continuity of effort was broken” and notes that “since then the region has had difficulty coming up with money to finance great libraries and distinguished facilities.”<sup>205</sup> Such a perspective underscores the reality behind the dearth of resources available to support established graduate programs in Alabama’s institutions of higher learning.

Sue Medina and William Highfill offer a contemporary qualification of Williams’s observations. They note that, “by the late 1970s, Alabama’s low per capita income, a regressive tax structure, a very low property tax rate, and the absence of home rule for raising local taxes had contributed to inadequate funding for services at all levels of government” and that, “on a per capita basis, the state has the fifth largest number of colleges and universities in the nation [see Appendix D].”<sup>206</sup> Access to lean research materials challenged student academic endeavors. The Council of Librarians, an ACHE advisory council, stated, too, that “graduate education can no longer be permitted the grand illusion of assuming that quality education can be offered within the walls of academe in Alabama...they are clearly inadequate in terms of the total graduate programs which they are attempting to support.”<sup>207</sup> Neil Snider, dean of libraries at the University of West Alabama, found that “by the time NAAL had actually gotten started...we had gone through periods where we could absolutely not buy one thing.”<sup>208</sup>

Snider recalled NAAL’s origins as far back as 1971. He echoed Williams’s concerns when he described how the Council of Librarians was “just absolutely appalled by the lack of resources in

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<sup>205</sup> Griessman, A10.

<sup>206</sup> Medina and Highfill, “Effective Governance,” 15.

<sup>207</sup> Alabama Commission on Higher Education, Council of Librarians, preface, 2.

<sup>208</sup> Neil Snider, interview by author, Northport, AL, November 23, 2011.

Alabama to support higher education.”<sup>209</sup> In his discussion, Snider targeted economics and offered a visual representation of “a very touchy topic in Alabama”:

When we started out thinking of resource sharing...there were people who thought [that] “they were going to take my set of World Book Encyclopedias and we would have to get them through the mail”...And it was very difficult to get people to see that we were not talking about all the World Books [being] taken from the classroom...and all the dictionaries.<sup>210</sup>

Such an inability to look beyond individual institutions to envision potential statewide library progress hindered some preliminary conversations.

Conventionally, institutions of higher learning assumed sole responsibility for the quality of academic libraries.<sup>211</sup> Academic libraries championed learning and research specific to their college or university and “have never traditionally had statewide coordination.”<sup>212</sup> Williams successfully rebutted this perspective at an early meeting of ACHE when he specified deficiencies of state academic library collections and offered a comparison of holdings in Alabama academic libraries to those at two rival schools—Florida State University and the University of Florida. He employed survey results to transform a barrier into an opportunity by emphasizing the critical need for improvement in plain language. These findings were made available to the news media, and Snider emphasized that “it was just astonishing that...throughout the entire state—that [in] the total number of books in all the academic libraries, we could not even equal Florida State University...and the University of Florida...but in those two libraries they had more resources to

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<sup>209</sup> Snider interview.

<sup>210</sup> Ibid.

<sup>211</sup> Sue O. Medina and William C. Highfill, “Shaping Consensus: Structured Cooperation in the Network of Alabama Academic Libraries,” in *Restructuring Academic Libraries: Organizational Development in the Wake of Technological Change*, ed. Charles A. Schwartz (Chicago: Association of College and Research Libraries, 1997): 142.

<sup>212</sup> Sue Medina, interview by author, Montgomery, AL, August 9, 2012.

support graduate instruction than the entire state of Alabama had in all of its academic libraries.”<sup>213</sup> Williams’s rhetoric struck a communal nerve when he appealed to state pride.

Snider also invoked the term “proration” in his description of Alabama economics and education. Amendment 26 of the 1901 Alabama Constitution mandates that expenses attached to funds without sufficient revenues must be prorated.<sup>214</sup> Wayne Flynt explains that “no other state relies so heavily as Alabama on volatile sales and income taxes to fund education.”<sup>215</sup> Snider emphasized that “proration after proration” determined how economic need played a significant role in considerations of resource-sharing to support graduate institutions [see Appendix E]. Between 1950 and 2008, Alabama’s education budget was prorated seventeen times.<sup>216</sup> Ongoing financial concerns, another obstacle, also served as impetus to considerations of academic library cooperation.

### Summary

A sense of possibility developed out of the growing awareness of an urgent need to improve the quality of graduate education in Alabama. In 1967, advances in technology reinforced the dramatic development of a regional computer system that linked academic libraries in Ohio. Two years later, twelve citizens of Alabama received appointments to the Alabama Commission on Higher Education (ACHE), an organization tasked with oversight of higher education throughout the state. The Councils of Graduate Deans and Librarians identified the inferior condition of

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<sup>213</sup> Snider interview.

<sup>214</sup> State of Alabama Fiscal Office, *The State of Alabama Budget Fact Book: FY2011* (Montgomery, AL: 2011), 3. <http://www.lfo.state.al.us/pdfs/FY%202011%20Budget%20Fact%20Book.pdf> (accessed January 31, 2012).

<sup>215</sup> Wayne Flynt, *Keeping the Faith: Ordinary People, Extraordinary Lives* (Tuscaloosa, AL: University of Alabama Press, 2011), 133.

<sup>216</sup> Holly Keaton gives an overview of proration and education expenditures in Alabama in “Proration: We Know It’s Coming,” *Troy Messenger* (December 7, 2008). <http://www.troymessenger.com/2008/12/07/proration-we-know-its-coming/> (accessed January 31, 2012).

academic libraries at institutions supporting graduate studies, and, based on details discovered, they initiated a strategy to effect collaborative use of information resources statewide. Then Assistant Director of Libraries at the University of Alabama at Birmingham, Jerry Stephens characterized the origins of NAAL: “It was idea driven...to build community.”<sup>217</sup> An innovative approach and a purposeful plan distinguished the roots of this impetus.

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<sup>217</sup> Jerry Stephens, interview by author, Birmingham, AL, November 21, 2011.

## CHAPTER THREE

### ENVISIONING ACHIEVEMENT, 1980-1982

“From time to time, someone needs to ask: Cooperation—the key to what and for whom?”  
--Roderick G. Swartz, “The Need for Cooperation Among  
Libraries in the United States,” *Library Trends*

#### Characteristics

Emergence of a need distinguishes the first stage of development in a corporate life cycle. As an interest group develops to address the identified issue, different perspectives grow out of inclination and technique. The overriding theme centers on possibility: “Can this dream be realized?”<sup>218</sup> Leaders emerge who are “typically entrepreneurial and visionary...[and] self confident.”<sup>219</sup> At this early time in the life cycle, formalized structures do not exist for personnel, financing, and procedures. The appetite for distinguishing a focus and targeting solutions drives stage one.<sup>220</sup> In Alabama, noted deficiencies in academic libraries at institutions of higher learning providing graduate programs suggested a statewide network to promote resource sharing. Advisory councils to the Alabama Commission on Higher Education (ACHE) included university presidents, academic deans, financial officers, and librarians, those well versed in deficient funding and scarce resources.

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<sup>218</sup> Simon, 14.

<sup>219</sup> Ibid.

<sup>220</sup> Ibid. Simon specifies that discussion of stage one characteristics cannot include considerations of governance, leadership, financing, administration, products and services, or marketing.

## Role of APLS

As the focus on academic libraries in Alabama broadened, Anthony Miele became director of the Alabama Public Library Service (APLS) in Montgomery in 1975. Miele placed tremendous emphasis on collaboration. After migrating to the state from the Midwest, he experienced firsthand the merger of culture and cause, and he described his own immersion into the deep South arena with humor:

To show you how naïve I was when I came here, I was only here maybe a couple of months. I had to go and make a presentation to a public relations type of meeting. I forget what it was about. But, all the time while I'm there, I'm hearing them refer to Huntsville as "Yankee." Yes, really, in those days. So when I get up and make the presentation and make some remarks, I say, "You know I find this kind of interesting that I hear you referring to people from Huntsville as Yankees. I just came here from Illinois. And, like a stupid idiot, I said, "What would you refer to me as?" And some guy in the background said, "Put an adjective in front of it."

A passionate advocate for libraries, Miele also identified what, in reality, caused trepidation in those around him when he stated, "I was trying to make so many changes."<sup>221</sup> In Illinois, as "head of tech services," Miele assisted with the implementation of a statewide catalog. He explained, "And I helped develop that...In fact, we were the second state in the country that had a statewide union catalog."<sup>222</sup> The first state union catalog was developed in Ohio in 1938.<sup>223</sup>

Specifically, initial networking applications in the Alabama public library arena began with the Alabama Interlibrary Catalog (ALICAT). ALICAT initiated with conversion of bibliographic records at the Birmingham-Jefferson County Public Library and seven Southeastern Library and

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<sup>221</sup> Bill Crowley refers to Miele's professional diligence in a 2006 blog entry: "On the 'how to do it right side,' I also provided the example of Anthony W. Miele, a former director of the Alabama Public Library Service, who fought doubters and bean counters alike to make the support of librarian professionalism a keystone of his very successful career as a library leader. Tony, I stressed, clashed with both state government analysts and other department heads over position descriptions and salary ranges to insure that professional librarians received the recognition and compensation earned by their valuable work. In William Crowley, "Failing Dinosaurs or Thriving Mammals—Escaping the Business Model of the Public Library (Saturday, April 22, 2006) [http://concernedlibrarians.blogspot.com/2006/04/failing-dinosaurs-or-thriving-mammals\\_22.html](http://concernedlibrarians.blogspot.com/2006/04/failing-dinosaurs-or-thriving-mammals_22.html) (accessed February 1, 2012).

<sup>222</sup> Anthony Miele, interview by author, Madison, AL, December 10, 2011.

<sup>223</sup> Maurice F. Tauber, "Other Aspects of Union Catalogs," *Library Quarterly* 9, no. 4 (October 1939): 411.

Information Network (SOLINET) member academic libraries. From there, new interlibrary loan procedures developed, and the Alabama Library Information Network (ARLIN) formed to facilitate service to patrons at public libraries as well as other libraries statewide. State monies and federal LSCA funds backed networking activities. Planning for a regional multitype project also emerged during these early years from 1976-1981.<sup>224</sup>

Sue Medina, who became executive director of the Network of Alabama Academic Libraries (NAAL), worked with Miele as a consultant for planning and research with APLS beginning in 1977. Her earlier professional background included roles as a base librarian in Okinawa, Japan, in 1969 and as reference librarian at the University of Georgia from 1971-1972, at Mobile Public Library from 1972-1974, and at the Alabama-Tombigbee Library System from 1975-1976. Further, she earned her doctoral degree at Florida State University in 1983, focusing her research on the significance of the state library agency. Theory and practice informed her vision. Referring to Medina, Miele said, “During her time with me, I was doing everything I could possibly do to start library cooperation and a statewide catalogue.”<sup>225</sup> Medina observed and assisted at APLS and ultimately applied her experiences at NAAL for twenty-five years.

Medina recognized the longstanding history of public library’s cooperative efforts when she mentioned the influence of the Work’s Project Administration (WPA): “That funding actually helped say that the states and then ultimately the federal government can have a role in coordinating services and improving services.”<sup>226</sup> Indeed, the WPA effected new construction and renovation of

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<sup>224</sup> Engle’s dissertation discusses the history of several networking activities in Alabama, including APLS projects implemented at public library, statewide, and intrastate levels. Engle, 464-77.

<sup>225</sup> Miele interview.

<sup>226</sup> Medina interview.

more than one thousand library structures nationwide.<sup>227</sup> In what were classified as service projects, WPA programs “demonstrated a substantial increase in regular library services in rural areas.”<sup>228</sup>

However, in 1983 Miele and Medina wrote of the challenges faced by public libraries in Alabama: “Even in the early days of federal funds, when libraries in other regions could experiment with innovative programs, Alabama’s libraries could only hope to play catch-up to achieve basic minimum services.”<sup>229</sup> An overall lack of funding statewide to individual libraries limited offerings and emphasized the critical need for innovation in sharing resources.

Long-serving Dean of Libraries at the University of West Alabama, Neil Snider, too, described Miele’s vision: “He tried to get legislation passed that would provide a resource-sharing program with the Alabama Public Library Service as the coordinator, and it would include all types of libraries...it was a good concept.”<sup>230</sup> Consistent with preliminary characteristics of the corporate life cycle, forward-looking leaders Miele and Medina demonstrated how the vision for statewide library collaboration would benefit many. They endeavored to develop a practical application of this model.

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<sup>227</sup> United States Works Project Administration. *Final Report on the WPA Program: 1935-43* (Washington, D.C.: U.S. Government Printing Office, 1943), 52, <http://lcweb2.loc.gov/service/gdc/scd0001/2008/20080212001fi/20080212001fi.pdf> (accessed August 15, 2012).

<sup>228</sup> Ibid., 60. The WPA operated on a “state-wide basis,” including rural and urban areas. Volunteer citizen groups, “especially farmers’ wives,” sustained public libraries efforts (62). This tradition continued long after the Depression ended as evidenced by Medina’s description of contacts with public libraries in southwest Alabama prior to her employment with NAAL: “But there were so-called public libraries in that ten-county area that I worked in that had no appropriations. The local ladies club, or whatever, was funding it, and the volunteers were keeping it open, and, yet, it was a public library.” Medina interview.

<sup>229</sup> Anthony W. Miele and Sue O. Medina, “Collection Development in Alabama’s Public Libraries: A Statewide Perspective,” *Collection Management* 5, no. 3/4 (fall/winter 1983): 103.

<sup>230</sup> Snider interview. See the Alabama Public Library Service Administrative Code, Library Development Division for detailed “Planning Guidelines for Public Library Service,” <http://www.alabamaadministrativecode.state.al.us/docs/lib/McWord520-2-3.pdf> (accessed January 31, 2012).



However, Miele's efforts often appeared doomed. With an example of perceived provincialism, Snider went on to demonstrate how Miele's ethnicity did not serve him well at all times in a professional arena:

But Tony [Miele] was from New York [sic]. People around here in Alabama, when you get past Jones, Greens, Browns, and Sniders, other names sound funny. And he had a funny-sounding name. And he used profanity. And there were people who appeared before the State Legislature, and one person—I'm not going to call her name because she was with the State Department of Education—just made this plea to the Legislature not to fund this cooperative system that he was proposing. And she would just almost cry because [for] these little children, their World Book encyclopedias would be taken from the classroom and put in a central location. And she just played up all the things a classroom teacher would need. Well...a school library does not say that a classroom teacher cannot have a set of classroom encyclopedias or dictionaries.<sup>231</sup>

Miele confirmed Snider's portrayal: "I remember librarians saying, 'I'm not going to lend my books out to people—they won't bring them back'" and "I had a university librarian say...to me one day, 'Oh, we can't lend our books out,' and my response, of course, was not—I don't know how to say—kindly accepted."<sup>232</sup> Further, Miele did not mince words about the response from school librarians with regard to library collaboration:

They were nasty to us...The year I came here, APLS was put into the education budget and taken out of the general fund. Right away: "You're stealing our money; you're taking our money away." And all this kind of stuff. I had a tough couple of years there, and I managed to survive.<sup>233</sup>

Snider furnished specific details, including Miele's casual interjections of swearwords and school librarians' veneration of World Book volumes. He emphasized the relationship of these particulars to Miele's presentation to the Legislature promoting cooperation: "That effort just went down the drain."<sup>234</sup> Eventually, in 1986, Miele departed Alabama for Arizona:

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<sup>231</sup> Snider interview. Miele hailed from Illinois, not New York.

<sup>232</sup> Miele interview.

<sup>233</sup> Ibid.

<sup>234</sup> Snider interview.

I hated to leave, but I wasn't getting along good with the board. The thing that I was really trying to do and couldn't get done was to start a multi-library kind of consortium like we had in Illinois...Multi-type library systems, that's what they were called. I couldn't seem to overcome the local bias on something like that...my professional life was based on library cooperation. I did my darnedest. And that fit right in with what Sue [Medina] was doing.<sup>235</sup>

He concluded, "Yes, they were tough years, the first couple of years or so...Trying to make them accept me, being a Yankee down here in the Southland, you know...That was so funny: 'Put an adjective in front of it.'"<sup>236</sup> Medina, who worked with Miele during these critical years, illustrated lessons learned in her description of a "desired outcome in establishing NAAL" as "unity of purpose to support actions necessary to accomplish behavioral changes" in participant libraries, including acknowledging contributions, trusting in ethical behaviors, and relying on commitments.<sup>237</sup>

Miele's narrative emphasized the role of public libraries in building consensus statewide for cooperative library resource sharing. He portrayed collaboration among public and academic libraries in Alabama when he described the state's early participation in the federally sponsored United States Newspaper Program (USNP), which allowed for preserving newspapers published from the eighteenth century forward.<sup>238</sup> This project began in 1982. He explained:

I applied for that grant and got it...I ended up being the chief financial officer at the time. Auburn and Alabama, they led the project. But we were the second state in the country to get that grant. And so that was another beginning of cooperative things between the public libraries and the academic libraries.<sup>239</sup>

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<sup>235</sup> Miele interview.

<sup>236</sup> Ibid.

<sup>237</sup> Medina and Highfill, "Shaping Consensus," 145.

<sup>238</sup> National Endowment for the Humanities, "United States Newspaper Program," <http://www.neh.gov/projects/usnp.html> (accessed February 1, 2012). The USNP preservation effort continues as the National Digital Newspaper Program (NDNP). See National Endowment for the Humanities, "NEH Projects," <http://www.neh.gov/projects/index.html> (accessed February 1, 2012).

<sup>239</sup> Miele interview.

In a memorandum to Miele, Elizabeth French expressed appreciation for his “support and assistance in the completion of this activity” and promised to keep him “informed of responses to the study and the launching of new projects.”<sup>240</sup> She stressed the significant representation of public library professionals in early considerations of library collaboration: “There’s Sue Medina, who was consultant for planning and research for the Alabama Public Library Service, and Tony Miele, who was the director, and Alice Stephens, who was head of library operations—they were all very heavily involved in this.”<sup>241</sup> Despite difficulties, the goal of statewide library cooperation and networking remained at the forefront in this exploratory phase of NAAL’s development.

### **Contributions of Select ACHE Councils**

A germinating Alabama Council for Higher Education (ACHE) began implementing its charge of oversight of higher education in Alabama in 1969, and, accordingly, “there were a series of advisory councils that were appointed statewide.”<sup>242</sup> According to French, “the most important of these councils to the ultimate NAAL organization were the Graduate Council [and] the Council of Librarians...[T]hese councils were advisory to the Commission on the implementation of their statute.”<sup>243</sup> Early responsibilities of the Council of Librarians, formed in 1971, included a report for the ACHE Master Plan for Higher Education (1971), participation in an ACHE five-year plan for development of higher education (1979), and *Cooperative Library Resources Sharing among Universities Supporting Graduate Study in Alabama* (1981-82).<sup>244</sup>

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<sup>240</sup> Memorandum from Elizabeth French to Anthony Miele (April 13, 1982).

<sup>241</sup> French interview.

<sup>242</sup> Ibid.

<sup>243</sup> Ibid.

<sup>244</sup> Engle’s dissertation included a structured profile of libraries in Alabama.

French's role as liaison to these two councils positioned her to argue with credibility that "the Council of Librarians and the Council of Graduate Deans were really the two responsible councils for the establishment of the Network of Alabama Academic Libraries." She further specified that "the impetus really came from the Graduate Deans," who recognized that "academic libraries represent a valid barometer of institutional excellence in programmatic development and research" and initiated the study of library holdings and resources at institutions of higher learning offering graduate programs.<sup>245</sup> William Highfill, who brought professional experience with library consortia to Auburn University from East Texas State University in 1973, also praised contributions offered by the Council of Graduate Deans. He said, "In our very initial phase, we got some fairly strong support from the Council of Graduate Deans."<sup>246</sup> He continued, "Out there we had a consortium of north Texas libraries. And, at the point I came, I was chairing that group, which was just happenstance."<sup>247</sup> A staunch advocate for NAAL, Highfill was described as "a founding father...of the network of Alabama academic libraries...one of the most effective statewide library consortia in the United States."<sup>248</sup>

Specifically, the momentum demonstrated by the Council of Graduate Deans included a request that the Council of Librarians and Commission staff "review the current status of academic libraries of senior institutions in the State."<sup>249</sup> The results included a report entitled "University Library Needs for the 80's" and a presentation to the Graduate Council in April 1981. Next, the Council of Librarians undertook an expanded venture from the April 1981 presentation. *Cooperative*

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<sup>245</sup> French interview.

<sup>246</sup> William Highfill, interview by author, Auburn, AL, December 8, 2011.

<sup>247</sup> Ibid.

<sup>248</sup> Association of Research Libraries and Arthur Curley, *The Leadership Role in Library Fund Raising: 120th Membership Meeting Association of Research Libraries, Charleston, South Carolina, May 13-15, 1992* (Washington, D.C.: Association of Research Libraries, 1993), 2.

<sup>249</sup> Alabama Commission on Higher Education, Council of Librarians, 15.

*Library Resource Sharing among Universities Supporting Graduate Study in Alabama* was described as “the outgrowth of that request and represents an initial effort in the development of a plan for more effective support and cost efficient use of academic library resources throughout the State.”<sup>250</sup>

Recognition of need and commitment to action signified the birth stage in organizational life cycle of NAAL.<sup>251</sup>

### **Concerns about Graduate Education and Academic Libraries**

Notwithstanding early setbacks in movement toward multitype library cooperation for Alabama’s public library system, emphasis on library collaboration remained in Alabama. The Council of Librarians accepted the charge to research and report on the condition of academic libraries, and, as Medina declared, “In those early days, because of the study and because of the work the librarians did with the graduate deans and academic officers...they knew what the issues were with library needs,” that “they were not supporting their academic programs fully with the information needed.”<sup>252</sup> Snider concurred: “[I]t was out of that series of meetings that the idea came about that we really needed, that we were so far behind the other states when it came to supporting graduate instruction that we needed a system whereby we could share resources.”<sup>253</sup> During this time that would be recognized as NAAL’s start-up phase, those who served on the Council of Librarians trained their focus on analyzing and evaluating the role of academic libraries in the realm of graduate education.

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<sup>250</sup> Alabama Commission on Higher Education, Council of Librarians, 15.

<sup>251</sup> Simon, 14.

<sup>252</sup> Medina interview.

<sup>253</sup> Snider interview.

In April 1981, the Council of Graduate Deans reviewed the report “University Library Needs for the 80s.”<sup>254</sup> This account detailed the current status of academic libraries in senior (four-year) institutions. Subsequently, “the Council submitted a request for documentation identifying present and future library needs with emphasis on the impact of those needs in support of quality graduate academic programs.”<sup>255</sup> One year later, those study findings were published as *Cooperative Library Resource Sharing among Universities Supporting Graduate Study in Alabama*, prepared by the Alabama Commission on Higher Education Council of Librarians (ACHE, the Commission). This meticulous study proved to be a linchpin in academic library collaboration history and enabled Alabama to serve as a bellwether—the first state-sponsored academic library consortium of public and private institutions of higher learning as equal partners.<sup>256</sup>

The Council of Graduate Deans acknowledged that the level of library resources was “totally inadequate” to support graduate education and that the absence of available funds negated growing all collections statewide.<sup>257</sup> When he introduced *Cooperative Resource Sharing among Universities Supporting Graduate Study in Alabama* to Commission members in June 1982, Executive Director of ACHE Joseph Sutton also recognized the primary role of this same Council of Graduate Deans in launching a plan of advancement for ACHE board members. He wrote: “Inasmuch as the graduate

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<sup>254</sup> Alabama Commission on Higher Education Council of Librarians, 15. Medina referenced this report and the ensuing request for additional data in the NAAL chronology, updated 2009. <http://www.ache.state.al.us/NAAL/NAAL%201984-2009.pdf> (accessed January 30, 2012).

<sup>255</sup> Alabama Commission on Higher Education, Council of Librarians, 6, 15.

<sup>256</sup> Sue Medina, September 14, 2012, e-mail message to author.

<sup>257</sup> French interview. As Director for Academic Affairs, French joined ACHE in 1978, and part of her professional responsibilities included serving as staff liaison to the advisory Councils of Librarians and of Graduate Deans. In a memorandum dated April 13, 1982, from William D. Carr, Dean of the College of Graduate Studies at the University Alabama in Huntsville and Jacksonville State University, to the Academic Affairs Committee, praised French for assuming “primary responsibility for the planning, organization, and direction of this study during the past twelve months.” He continued, “She has done an outstanding job in coordinating this study which is reflected in the quality and comprehensiveness of the study.” Carr served as an initial voting member of NAAL’s Interim Advisory Council.

deans were responsible for the initiation of the study, we feel it appropriate that a member of that Council make the formal presentation to the Commission.”<sup>258</sup>

Specifically, “the state’s academic libraries did not meet even minimum standards to support a graduate curriculum.” The report described library statistics collected from 1979-80 to evaluate member libraries and disclosed the following: (1) the Association of Research Libraries (ARL) effected actual and extrapolated rankings, respectively, of The University of Alabama and Auburn University in the lowest ten per cent of the members; (2) the Association of Southeastern Research Libraries (ASERL) demonstrated that none of Alabama’s ASERL members “consistently ranked in the upper half of the criteria used to evaluate members.”<sup>259</sup> The correlation between existing graduate programs and complementary research collections emerged unabashedly in the contents.

### **Endorsement of the Study**

Research institutions, namely The University of Alabama and Auburn University, “suggested that they no longer had the resources necessary to support the graduate level, particularly doctoral level, studies...they wanted to do something that would give them an overview from the librarians’ end to conduct a study of the holdings because, obviously, the Graduate Deans couldn’t do this...and that’s how the study was initiated.”<sup>260</sup> When completed, the Councils of Graduate Deans, Chief Academic Officers, and Presidents all received and endorsed the study. From there, the Graduate Deans presented the report to ACHE, and “it was from that that things got started in

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<sup>258</sup> Letter from Joseph T. Sutton to Paul Parks, Vice President for Research and Dean of Graduate School at Auburn University (June 1, 1982). French papers.

<sup>259</sup> Alabama Commission on Higher Education (Montgomery, AL), “Discussion Item J: *Network of Alabama Academic Libraries Annual Report*, Minutes of Meeting of Alabama Commission on Higher Education, 23 October 1992. In *Network of Alabama Academic Libraries 1992-1993 Executive Council* (Montgomery, AL), Minutes of Meeting of Network of Alabama Academic Libraries 1992-1993 Executive Council, 28 October 1992, meeting of 28 October 1992. Auburn qualified for ARL membership in 1992. Auburn was invited to become a member of the Association of Research Libraries in 1992. In “Histories of the Auburn Libraries,” <http://www.lib.auburn.edu/dean/history.php> (accessed February 5, 2012).

<sup>260</sup> French interview.

terms of the whole organizational structure.”<sup>261</sup> French emphasized the significance of Sutton’s handwritten note included on his memorandum to the Council of Presidents on June 15, 1982: “This has been called the most important study relevant to *academic quality* ever presented to ACHE.”<sup>262</sup>

In November 1982, upon official endorsement of *Cooperative Library Resource Sharing among Universities Supporting Graduate Study in Alabama*, ACHE agreed to “request a legislative appropriation of \$1,090,000 for the 1983-84 fiscal year” and to approve “the creation of NAAL,” pending commitments from a majority of public institutions of higher learning in Alabama to fund expenses for the first year of operation.<sup>263</sup>

### Summary

The list of individuals who were part of the Council of Librarians in 1981 included motivated academic librarians. According to French, they “were the people responsible for that initial study...who were really involved in getting this off the ground...that kind of historical perspective is always fascinating.”<sup>264</sup> These “visionaries,” Judith Sharken Simon’s descriptor, became identified as the primary characters who embraced statewide library cooperation in an amorphous condition. They demonstrated willingness to wrangle the raw material at the beginning of the life cycle.<sup>265</sup> Recognition of deficient levels of research resources at institutions offering graduate studies served as a catalyst for improvement. Outspoken ACHE leadership initiated action, and advisory

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<sup>261</sup> French interview.

<sup>262</sup> Memorandum from Joseph T. Sutton to the Council of Presidents (June 14, 1982): 1. French papers.

<sup>263</sup> Network of Alabama Academic Libraries (Montgomery, AL), “Memorandum of Agreement between the Alabama Commission on Higher Education and the Network of Alabama Academic Libraries, an Unincorporated Association, [revised as of 6/18/84]” Minutes of Meeting of Network of Alabama Academic Libraries, 28 October 1992, meeting of 28 October 1992.

<sup>264</sup> French interview.

<sup>265</sup> O’Rand and Krecker, 257.



councils took expeditious action to explore circumstances and apply recommendations. From a familiar backdrop of economic hardship, the Councils of Presidents, Academic Officers, and Librarians enabled a vision of possibility through improvement in a rapidly changing environment of technology. A determined grasp on self-enlightenment allowed early adopters to look beyond the immediate “it’s mine” to support what Medina labeled “this overall program” in the first stage in NAAL’s development.<sup>266</sup>

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<sup>266</sup> Medina interview.

## CHAPTER FOUR

### DESIGNING STRUCTURE, 1983

“The consensus is that the nature of corporate development is quite structured.”

--Danny Miller and Peter Friesen, “A Longitudinal Study of the Corporate Life Cycle,” *Management Science* 30

#### **Characteristics**

The second stage in a corporate nonprofit life cycle incorporates scaffolding for the organizational vision. Here, enthusiastic contributors attach preliminary governance and funding considerations to the structure. Stage two considerations anticipate achievement: “How are we going to pull this off?”<sup>267</sup> Formalized administrative systems begin emerging in this brief period of advancement. Stage two lasts a brief period of time, generally one to two years.<sup>268</sup> For NAAL, considerations related directly to expectations held by the state’s institutions of higher learning.

#### **Advancement of a Cause**

On April 22, 1982, when the Council of Graduate Deans of the Alabama Commission on Higher Education (ACHE) endorsed *Cooperative Library Resource Sharing among Universities Supporting Graduate Study in Alabama*, the report prepared by the ACHE advisory Council of Librarians, momentum swelled for establishing a formal network of Alabama academic libraries. Blaine Brownell, chair of the Council of Graduate Deans, acknowledged and thanked Elizabeth French,

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<sup>267</sup> Simon, 17.

<sup>268</sup> Ibid.

senior staff, associate/Academic Affairs of ACHE and members of the Council of Librarians, including Kaye Gapen, director of libraries at The University of Alabama; Fred Heath, dean of library services at the University of North Alabama; William Highfill, chair of the Council of Librarians and library director at Auburn University; Charles Lowery, library director at the University of South Alabama; Paul Spence, library director at the University of Alabama at Birmingham; and Jerry Stephens, assistant director of libraries at the University of Alabama at Birmingham. French referred to these characters as “major players in the development of this study.”<sup>269</sup>

The resolution adopted by acclamation included the following description of the publication: “This Report addresses one of the most critical issues for higher education in Alabama, and suggested a model for cooperation among institutions of higher education in Alabama and a mode for the most efficient use of resources.”<sup>270</sup> Further, the Council of Graduate Deans recommended “that this report be submitted in its entirety to the Council of Chief Academic Officers, the Council of Presidents, and Alabama Commission on Higher Education, and that representatives of the Council of Librarians present the Report to these groups.”<sup>271</sup> The Council of Librarians, whose members were recognized as knowledgeable authorities, was named to advance their findings and clarify details.

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<sup>269</sup> French interview. The 1982 draft constitution of the Council of Librarians designated membership in the ACHE Council of Librarians to directors of libraries as appointed by presidents from the following institutions: Alabama A&M University, Alabama State University, Athens College, Auburn University, Auburn University at Montgomery, Jacksonville State University, Livingston University, Troy State University, University of Alabama, University of Alabama at Birmingham, University of Alabama in Huntsville, University of Montevallo, University of North Alabama, and University of South Alabama. Memberships were also extended to the director of the medical library at the University of Alabama at Birmingham and the law library at the University of Alabama. French papers.

<sup>270</sup> Blaine A. Brownell, Chairman, ACHE Council of Graduate Deans, memorandum to the Alabama Commission on Higher Education, ACHE Council of Presidents, and ACHE Council of Chief Academic Officers (April 29, 1982). Sutton’s personalized message was included on a memorandum to the Council of Presidents (June 14, 1982). During her interview, French made special mention of the text written by the ACHE chair: “This has been called the most important study relevant to *academic quality* ever presented to ACHE.” French papers.

<sup>271</sup> Ibid.

The second stage of the nonprofit corporate life cycle is characterized by rapid pace. Events of the summer of 1982 corroborated such description as the Council of Librarians presented their findings and recommendations to three other assemblies as requested by the Council of Graduate Deans. They appeared before ACHE members on June 11, and the membership validated the proposal. On June 29, the Council of Chief Academic Officers unanimously endorsed the study, and the Council of University Presidents attended a presentation on August 5 that resulted in a favorable outcome.<sup>272</sup>

Also at the August 5 meeting with the Council of University Presidents, “a *proposed* draft for the organization of the Alabama Academic Library Network was distributed.”<sup>273</sup> This groundbreaking event illustrated “how the concept of the organization as outlined in the study document could be translated into a workable entity.”<sup>274</sup> Just one day later, on August 6, a revised draft was issued because of omission of several institutions in the original organization list.<sup>275</sup> These early pages put together by the steering committee of the Council of Librarians resulted from what French called “a high level of energy with the right people at the table and the intellectual and professional experience to carry out the work.”<sup>276</sup> Her description echoed characteristics included by Judith Sharken Simon in her summation of second-stage organizational governance characteristics: inspired, committed, and unwavering.<sup>277</sup>

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<sup>272</sup> Elizabeth C. French, memorandum to the Council of Librarians, August 6, 1982. French papers.

<sup>273</sup> Ibid.

<sup>274</sup> Ibid.

<sup>275</sup> Joe Sutton, memorandum to the Council of Presidents, August 6, 1982. French papers.

<sup>276</sup> French interview. Council of Librarians (FY 1982-83) steering committee members included Kaye Gapen, Fred Heath, William Highfill, Charles Lowry, and Paul Spence.

<sup>277</sup> Simon, 17.

## Structure for a Network<sup>278</sup>

The preliminary organizational plan for the newly named and framed Alabama Academic Library Network (AALN) delineated the purpose statement, membership, organization, governance, funding, budget, policy/program development, and the suggested AALN organizational relationship in six pages.<sup>279</sup> Plainly stated, AALN formed to address the scarcity of research resources in Alabama's academic libraries as detailed in *Cooperative Library Resource Sharing among Universities Supporting Graduate Study in Alabama*. In this publication, the Council of Librarians identified and quantified weaknesses of Alabama academic libraries and offered order through suggestions of collaborative and corrective actions. Emphases listed in this 1982 document included "resource sharing, the development and use of information technologies, and other information services in order to support more effectively academic research in the state of Alabama."<sup>280</sup>

Sue Medina and William Highfill underscored the radical nature of such a united undertaking: "Responsibility for library quality had always been the exclusive domain of the individual institutions."<sup>281</sup> The Council of Librarians had identified challenges, but determining structure for a cooperative of forward-looking institutions remained a critical element in the development of the network. As 1982 waned, the process teetered on the edge of the second stage of the life cycle progression for the nascent organization.

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<sup>278</sup> The Network of Alabama Academic Libraries (NAAL) was initially named the Alabama Academic Library Network (AALN). Joseph T. Sutton, correspondence to Council of Presidents (August 6, 1982), French papers, and Elizabeth C. French, correspondence to Council of Librarians (August 6, 1982). French papers. By late 1982, "NAAL" replaced "AALN."

<sup>279</sup> Attachment to memorandum from Elizabeth C. French to the Council of Librarians (August 6, 1982). French papers. Early organizational documents referenced the "Alabama Academic Library Network," which became known as the "Network of Alabama Academic Libraries."

<sup>280</sup> Alabama Commission on Higher Education, Council of Librarians Steering Committee, *Draft Organizational Plan: Alabama Academic Library Network*, August 6, 1982.

<sup>281</sup> Medina and Highfill, "Shaping Consensus," 142.

## AALN Membership

Early membership parameters for AALN included “all libraries in the state of Alabama” divided between two membership categories, “general” and “cooperating.” General membership included “institutions supporting graduate education” and cooperating membership for “all other member institutions supporting academic, public, and state agency libraries.”<sup>282</sup> Among potential member organizations, confusion ensued over designations of member “libraries” and member “institutions,” which led the network later to tout clarification of institutional memberships. As Stephens explained years later about participation in the Network of Alabama Academic Libraries (NAAL), “Well, the presidents were the actual members of NAAL, and the librarians were appointed as the representative of the institution by the presidents.”<sup>283</sup>

## AALN Operations

To specify functionality, this draft document referred to bylaws that were to be developed cooperatively between the Council of Librarians Steering Committee and the Council of University Presidents. The elements necessary to specify operating rules remained under consideration at this early stage.

## AALN Governance

Those who assist with development of early regulations for a nonprofit organization focus on ensuring development rather than performing management in stage two of the corporate life cycle.<sup>284</sup> For AALN, conceptualization of the executive governing body comprised “the network’s diverse constituency,” including representatives from the Council of University Presidents, four-year

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<sup>282</sup> Alabama Commission on Higher Education, Council of Librarians Steering Committee, *Draft Organizational Plan*.

<sup>283</sup> Stephens interview.

<sup>284</sup> Simon, 17.

and two-year institutional members, the Council of Librarians chair, and other representatives of the General and Cooperating members as defined by future bylaws.<sup>285</sup> Additionally, nonvoting ex-officio representatives from the Alabama Commission on Higher Education (ACHE), the Alabama Public Library Service (APLS), and the Chancellors' Office of the Two-Year System participated. Forward looking, this document also specified the need for a program director, support staff, and office space.<sup>286</sup>

### AALN Funding

Under the original proposal, the Council of University Presidents held authority to approve “funding initiatives, programs, fees and dues” submitted by the executive board of AALN. The draft budget included up to \$90,000 for personnel, office supplies, and other expenses; of that total amount, up to \$70,000 was allocated for personnel.<sup>287</sup> Targeted streams of income linked to potential sources of revenue for both operating and project funds. For operating revenue, memberships included contributions of initiation fees, dues, and services as well as funds secured from a variety of outside sources. The document suggested that the Alabama Legislature would appropriate project funding through the ACHE budget with oversight by the AALN Board, the Council of University Presidents, and the Commission itself.<sup>288</sup>

### AALN Visibility

Because of AALN's affiliation with the state agency ACHE, media outlets covering state government news received timely information about the new library network. Simon described

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<sup>285</sup> Alabama Commission on Higher Education, Council of Librarians Steering Committee.

<sup>286</sup> Ibid.

<sup>287</sup> Ibid.

<sup>288</sup> Ibid.

marketing for products and services as “word of mouth” in the second life cycle phase, and the immediate evidence of AALN’s progress in Montgomery corroborated this second-stage distinction.

By September 1982, Barbara Green of Lawson State Community College made an inquiry about the possibility of the Council of Librarians performing another statewide library assessment, this time with a focus on the libraries at junior (two-year) institutions. French responded within the parameters of AALN structure: “Unfortunately, time did not permit an analysis of the libraries in the two-year sector in the present study.”<sup>289</sup> Stephens, too, restated this view:

The goal was never to be exclusive...But we had to establish a way to define what inclusion meant, and so we started with using graduate education as the main parameter because, you know, the community college system had its own political arena, its own problems, and its own benefits. And we knew... that this was not what we could include statewide, that universities could support as a statewide initiative solely on their backs.<sup>290</sup>

Highfill confirmed “We initially saw it for the academic libraries with graduate programs...then working as a co-equal with APLS.”<sup>291</sup> Appraisal of compound issues and coordination of complex relationships mandated considered review of background information and developing trends.

Council members did not have the luxury of “lengthy introductions or substantial briefings before votes had to be taken...for informed discussion in policy development, working committees were appointed and charged with developing recommendations for consideration by the full Council.”<sup>292</sup> French pointed out, “You can see that this was a very fast-moving initiative...by October of ’82, Stephens was developing a grant application to support a monograph conversion project.” Such commotion related directly back to program goals for academic libraries with regard

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<sup>289</sup> French interview.

<sup>290</sup> Stephens interview.

<sup>291</sup> Highfill interview.

<sup>292</sup> Sue O. Medina and William C. Highfill, “Statewide Cooperation to Improve Academic Library Resources: The Alabama Experience,” in *Advances in Collection Development and Resource Management*, vol. 1, ed. Thomas W. Leonhardt (Greenwich, CT: JAI Press, 1995), 104.



to collection development and mitigating duplication of resources. The University of Alabama, Auburn University, the University of Alabama at Birmingham, and the University of Alabama at Huntsville made up the four institutions of higher learning embracing these early AALN consortia innovations, the impact of which French described as “absolutely huge in terms of the whole collaborative nature of this project.”<sup>293</sup>

In November 1982 ACHE provided a legislative budget request in the amount of \$1,090,000 for NAAL and approved creation of the academic libraries network. An article in *The Tuscaloosa News* reiterated the significance of structured resource-sharing by academic libraries in Alabama and reported that ACHE had approved the plan after hearing a presentation by James Vickrey (including endorsements from five university presidents and five librarians).<sup>294</sup> Details in the article included profession-specific references to interlibrary loans, collection development, and increased library staffing and space. Inclusion of these specific library-centric topics demonstrated the ongoing significance of library activities to Alabama citizenry.

The newspaper article also included mention of Auburn’s projected upgrade to membership in the Association of Research Libraries (ARL), which would be a significant status indicator for the university and the state.<sup>295</sup> Both Vickrey and Clanton Williams included specific descriptions to the condition of the Auburn University library. Vickrey, who completed his undergraduate degree in 1960 at Auburn, spoke of his role as student government president and a speech he delivered during the dedication of the library building. He explained:

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<sup>293</sup> French interview.

<sup>294</sup> “Alabama Libraries Network Created,” *Tuscaloosa News* (November 22, 1982), <http://www.google.com/newspapers> (accessed February 5, 2012).

<sup>295</sup> *Ibid.*

I helped to dedicate the building at Auburn. That was my SGA presidency year, so I spoke at the ceremony. I have an emotional attachment to it. And it was half empty. The shelves were just row and rows and rows of empty shelves. Because Auburn has not made the library a priority. Now there was this prospect of empty shelves and so they slowly began to be filled. And then they eventually became a research library, which is one of NAAL's very goals.<sup>296</sup>

Years earlier, Williams, too, had singled out Auburn University and The University of Alabama in 1974 and observed, "Livingston University, for what it teaches, has the best library among the thirteen...[and] Auburn and The University of Alabama in Tuscaloosa, in that order, have the poorest."<sup>297</sup> These calls to action focused on the quality and quantity of collections and served as reinforcement for networking efforts.

### **From AALN to NAAL**

The incorporation of official structure anchored the second significant juncture in the life cycle of the Network of Alabama Academic Libraries (NAAL). Seeking support in January 1983, Vickrey, chair of the short-term Committee of Presidents and Librarians, which became the NAAL Interim Advisory Council, presented a status report on NAAL to the Alabama Commission on Higher Education (ACHE, the Commission) and admonished the group:

We've long enjoyed a lot of lip service to the idea of cooperation in Alabama higher education, but only during the last year or so have we been experiencing implementation of the idea in any unusual way . . . in the form of example. The latest and best example so far is the emerging Network of Alabama Academic Libraries (NAAL—pronounced as if it were spelling "nail").<sup>298</sup>

With a speech entitled, "On Putting Another 'NAAL' in the Structure of Cooperation in Alabama Higher Education," Vickrey employed a construction metaphor to promote a relevant and

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<sup>296</sup> James Vickrey, interview by author, Prattville, AL, November 16, 2011.

<sup>297</sup> Williams, "I Cringe Every Time I Read . . . Figures on Quality of Education in Alabama."

<sup>298</sup> James Vickrey, "On Putting Another 'NAAL' in the Structure of Cooperation in Alabama Higher Education" (report presented at the meeting of the Alabama Commission on Higher Education, Birmingham, AL, January 14, 1983).

memorable image for the network, and the shift from AALN to NAAL, begun in fall 1982, became finalized.

Presidents and librarians on the Interim Advisory Council turned out from all over the state to represent constituencies who endorsed a statewide program to build up library resources supporting graduate education and research. These founders included:

James Chasteen, President, Athens State and Calhoun Community College  
Kaye Gopen, University of Alabama Library  
Fred Heath, University of North Alabama Library  
Richardson Hill, Jr., President, University of Alabama at Birmingham  
Charles Lowry, University of South Alabama Library  
Robert Randolph, President, Alabama State University  
Paul Spence, University of Alabama at Birmingham Library  
James Vickrey (Chair), President, University of Montevallo  
James Williams, Chancellor, Auburn University at Montgomery

Prior to the meeting with ACHE, the Interim Advisory Council developed a list of proposed actions along a timeline to demonstrate NAAL's development process. Vickrey delivered the presentation, and the ACHE audience responded heartily to the description of initial strides and offered endorsement for subsequent functions.<sup>299</sup>

First-phase episodes, covering 1980-83 along the timeline, encompassed (1) completion of the study of Alabama academic libraries; (2) confirmation of the study by the Councils of Graduate Deans (April 1982), Chief Academic Officers (June 1982), and Presidents (August 1982) and by ACHE (November 1982); (3) inclusion of a line item request for \$1,090,000 in the 1983-1984 Legislative Budget for converting library holdings to a computerized database and providing operating funds for the NAAL office; and (4) formal establishment of NAAL contingent upon underwriting commitments for NAAL's first-year operating costs from a majority of Alabama's public colleges and universities. Vickrey noted in his report that ACHE members voted unanimously

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<sup>299</sup> Joseph T. Sutton to R. D. Morrison, January 21, 1983. French papers.

to approve inclusion of the line item budget request and NAAL's creation, dependent on committed first-year funding from institutions of higher learning, on November 19, 1982.

Second-phase activities, anticipated for the conclusion of the 1982-1983 fiscal year along the timeline, commenced with another gathering of the Interim Advisory Committee. Seventeen participants from "eight public senior institutions and three private senior institutions made formal financial commitments to proceed with NAAL, a majority of the public institutions, and to enact the Plan of Organization, including membership and governance. Such targeted topics include distinct characteristics of the second stage in the non-profit organizational life cycle."<sup>300</sup>

Finally, third-phase plans stretched forward from October 1983 to October 1984 on the timeline. The focus of this projection included funding that would allow NAAL to become a fully functioning entity including "participation of all State Universities."<sup>301</sup>

Stephens pointed out that Vickrey "helped us by conveying to the presidents that this [NAAL] is an investment in everyone's future" and explained that "getting the institutions to commit, getting the presidents to commit to the program, was a key point."<sup>302</sup> Visionary leadership serves as a critical resource as the initial conceptual layout begins to assume a form in the second stage of a nonprofit organization's life cycle.<sup>303</sup> Inaugural NAAL participants communicated a practical strategy that engaged ACHE membership:

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<sup>300</sup> Simon, 17-18.

<sup>301</sup> James Vickrey, "On Putting Another 'NAAL' in the Structure of Cooperation in Alabama Higher Education."

<sup>302</sup> Stephens interview.

<sup>303</sup> Simon, 17.

When you talk about the politics involved, not even talking about state politics, but just talking about within ACHE, politics within ACHE... Because we were focusing on graduate education, we built a rapport with the graduate deans of the institutions and got the graduate deans to endorse the idea that an academic network, a network of academic libraries, was an important network to have in place. And then we began to look at programs that would allow us to capitalize on that. So things that each institution could share or could benefit from, in terms of a program, were the programs that we tried to use to build the community, to build a rapport, to build the understanding of what the network was about.<sup>304</sup>

Possibilities for NAAL sparked from interest in bolstering graduate education resources in an environment of limited funds. ACHE's mission included oversight for higher education, including facilitation for planning. The Council of Librarians, advisory to ACHE, focused on the organization's mission to ensure an effort of appropriate scope and size. Other state educational units, such as the Alabama Community College System and the State Department of Education, existed outside NAAL's early strategic planning efforts. At this life cycle stage, NAAL members were, as Simon described, "highly motivated and willing to get involved at any level in order to bring the dream of the organization and what it can accomplish to fruition."<sup>305</sup> Early conversation focused on "commonalities in programs" among five leading institutions—Auburn University, University of Alabama, University of Alabama at Birmingham, University of North Alabama, and University of South Alabama—and led to expanded outreach within the state.

### **Organizational Agreement and Plan of Organization**

Using the early AALN proposal as a standard, Rufus Bealle, General Counsel/Secretary to the Board of Trustees at The University of Alabama, and Jeff Bennett, Acting Assistant to the Chancellor at the University of Alabama System, drafted the NAAL Organizational Agreement and the NAAL Plan of Organization Network of Alabama Academic Libraries. By March 1983 these

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<sup>304</sup> Stephens interview.

<sup>305</sup> Simon, 17.

agreements were finalized. Joseph Sutton, executive director of ACHE, praised their efforts and, accordingly, identified this effort as characteristic of stage two in the nonprofit corporation life cycle: “Without their assistance we would not have been able to progress to this organizational level so rapidly.”<sup>306</sup> Highfill described Bennett’s efforts and added a personal insight to his dedication. He explained, “One of the men who really helped us was Thomas Jefferson Bennett...He was a lawyer...not licensed to practice in the state of Alabama, but he did a tremendous amount of lobbying support for The University of Alabama. And his wife happened to be a librarian. He took this cause on and helped us a great deal on things like writing bylaws...Jeff was a saint.”<sup>307</sup>

The combined documents were distributed to the NAAL Interim Advisory Council for review. Earlier in 1983, Sutton applauded the institutions of higher learning that made financial commitment to support NAAL:

Let me take this opportunity to let you know how much I appreciate the initiative that your institution has taken in making a fiscal commitment to this project. So much needs to be done, but the level of support that this project has generated clearly targets this effort as one of the most important activities the academic community has cooperatively undertaken in the State to date. Your contribution to this effort will not go unobserved.<sup>308</sup>

These same supporters appeared as named parties in the documents drawn up by Bealle and Bennett, including the Alabama Commission on Higher Education, Alabama A & M, Alabama State University, Auburn University, Auburn University in Montgomery, Birmingham Southern College, Jacksonville State University, Livingston University, Samford University, Troy State University, Tuskegee Institute, The University of Alabama, the University of Alabama at Birmingham, the University of Alabama in Huntsville, the University of Montevallo, the University of North

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<sup>306</sup> Joseph T. Sutton to S. Richardson Hill, March 28, 1983. French papers.

<sup>307</sup> Highfill interview.

<sup>308</sup> Joseph T. Sutton to R. D. Morrison, January 21, 1983. French papers.

Alabama, and the University of South Alabama. On June 21, 1983, Sutton sent out a master copy of the NAAL Organizational Agreement with executed signature papers to the presidents of the participating institutions. This document grounded the legal foundation of the nascent network.

### NAAL Membership

Harkening back to Stephens's early emphasis on institutional commitment, NAAL membership was extended to institutions and not to individual libraries. As Medina and Highfill explained, "The legal voting delegate to NAAL had to be at an administrative level appropriate to make decisions for all libraries at a given school...[therefore] an institution's president became its legal representative to the network and could, in turn, designate a representative to serve in that capacity."<sup>309</sup>

"General" and "cooperating" membership categories denoted voting and non-voting privileges, respectively. Mandatory qualifications for general members, those with voting privilege, included graduate education programs and Online Computer Library Center (OCLC) membership while "all other member institutions supporting academic libraries, public libraries, and state agency libraries" originated as cooperating members, those with no voting privilege.<sup>310</sup> The general members were "vested with the management and control of NAAL" and the cooperative members were allowed to attend meetings and present issues; they could not vote or "manage or control the business or affairs of NAAL."<sup>311</sup> Cooperative members included "institutions which support academic libraries, public libraries, special libraries, or state agency libraries."<sup>312</sup> The executive director of ACHE served in an ex-officio capacity with voting privilege. The combined members

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<sup>309</sup> Medina and Highfill, "Effective Governance," 16.

<sup>310</sup> "Plan of Organization of Network of Alabama Academic Libraries." Stephens papers.

<sup>311</sup> Ibid.

<sup>312</sup> "Organizational Agreement: Network of Academic Libraries." Stephens papers.

made up NAAL's Advisory Council. Institutions applying to general membership subsequent to the formation of NAAL must receive approval of two-thirds of the voting representatives on the Advisory Council. Outreach through NAAL's combined memberships was targeted to foster equitable participation and reflect the statewide community.

### NAAL Operations

The Organizational Agreement provided for adoption amendment of bylaws through a two-thirds vote of the general members of the Advisory Council. It also allowed for NAAL's incorporation under the Alabama Nonprofit Corporation Act. The Advisory Council held authority to adopt and amend the Plan of Organization, again dependent upon a two-thirds vote of the voting representatives on the Advisory Council.

The Plan of Organization set out procedures for dissolution of NAAL with a two-thirds vote of the general members of the Advisory Council. Disbanding of NAAL could occur "in the event the Alabama Legislature should create and finance a public entity for the purposes for which NAAL has been established."<sup>313</sup> In the event of dissolution, NAAL assets could be liquidated and divided among general members according to contributions. The Plan permitted addition and withdrawal of member institutions according to the bylaws.

From a stance of practicality, the Plan included the ability for NAAL Advisory Council to take action without meeting formally. Such an event required consent in writing by all voting representatives on the Advisory Council. This consent designated a unanimous vote.

### NAAL Governance

The NAAL Advisory Council managed the "entire business and affairs" on the network through two classifications of members. General and cooperative members allowed for

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<sup>313</sup> "Plan of Organization of Network of Alabama Academic Libraries."



“representation of the diverse interests of the General members in the governance of NAAL.”<sup>314</sup>

General members and the executive director of ACHE were entitled to one vote. Cooperative members held the right to present and discuss matters before the Advisory Council, but they did not hold voting rights.

Further, the Plan of Organization promoted efficiency with the establishment of a seven-member Executive Council.<sup>315</sup> Seven general members made up the Executive Council, which handled routine association matters as specified by NAAL bylaws. Executive Council governance also mandated “equitable representation of the diverse interests of the General Members.”<sup>316</sup> Provisions included alternates, an administrative agent (ACHE), and a fiscal agent (University of Montevallo). The executive director of ACHE maintained responsibility for appointing and managing the NAAL director with approval from the Advisory Council. NAAL bylaws specified duties and responsibilities for the director.

### **Norman Stevens Consultancy**<sup>317</sup>

NAAL benefited from the consultancy services of Norman Stevens in 1983. The Interim Advisory Council arranged his involvement for assistance in identifying and grounding priorities as the reality of an Alabama network of academic libraries emerged.<sup>318</sup> His professional experiences with library technology ranged from the regional New England Library and Information Network (NELINET), specifically consortial and resource sharing, to OCLC Users Council delegate, to the

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<sup>314</sup> “Plan of Organization of Network of Alabama Academic Libraries.”

<sup>315</sup> Ibid.

<sup>316</sup> Ibid.

<sup>317</sup> Medina and Highfill, “Effective Governance,” 18.

<sup>318</sup> Communication with Sue Medina, August 9, 2012.

statewide Connecticut Library and Information Network (CONNLINE).<sup>319</sup> As early as 1980, Stevens described a wide vision for an automated catalog that “should be capable of becoming an ‘augmented’ or ‘multisource’ catalog by allowing the addition of other kinds of information and records from libraries and data bases selected by the individual user or users.”<sup>320</sup>

Foreshadowing Medina’s vision for the network, Stevens accurately stressed the significance of NAAL as reinforcement of academic programs in Alabama but also in “the development and use of information that can be of value to the entire state.”<sup>321</sup> Throughout his report, he emphasized “a major retrospective conversion project” as the initial focus of NAAL, much to the chagrin of one participant, who scrawled in the margin, “Is this really worth it??” on one copy of Stevens’s final version.<sup>322</sup> This succinct handwritten perspective upheld observations that newly developing nonprofit organizations often focus on proximate goals: “The ability to lay the foundation for the organization may be inhibited by difficulty in corralling the entrepreneurial, high-energy, visionary nature of the founders.”<sup>323</sup> For NAAL pioneers, such a personalized response recorded the energy focused on moving forward and on protecting initiatory monies.

Stevens dangled a carrot for implementing such a momentous undertaking: “The major academic libraries of Alabama have the opportunity to be the first set of academic libraries to have

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<sup>319</sup> Gregg Sapp, “ChangeMasters All: An Interview with Norman D. Stevens,” *Library Leadership and Management* 23, no. 3 (summer 2009): 129.

<sup>320</sup> Norman D. Stevens, “The Catalogs of the Future: A Speculative Essay,” *Information Technology and Libraries* 17, no. 4 (1998): [n.p.]. Originally published in *Journal of Library Automation* 13, no. 2 (June 1980): 88-95, <http://ehis.ebscohost.com.libdata.lib.ua.edu/eds/detail?sid=5b3128ce-10cc-48f4-b39b-47ee39b8a489%40sessionmgr11&vid=5&hid=23&bdata=JnNpdGU9ZWRzLWxpdmUmc2NvcGU9c2l0ZQ%3d%3d#db=eft&AN=502807749> (accessed August 17, 2012).

<sup>321</sup> Norman D. Stevens, “Proposed Organization and Activities with a Priority Action Plan: Final Report to the Network of Alabama Academic Libraries (NAAL)” (September 6, 1983). French papers.

<sup>322</sup> *Ibid.*

<sup>323</sup> Simon, 18-19.

accomplished that commonly held goal on a statewide basis.”<sup>324</sup> Early in his report, Stevens referred to the scarce funds available to perform conversion of existing bibliographic records to machine-readable format: “...such funding does not now appear to be immediately forthcoming from a special appropriation from the legislature.”<sup>325</sup> Accordingly, he provided suggestions for planning two years out with limited monies. His report addressed the following topics:

- Organization
- Administration and management
- Finances
- Staffing
- Relationships with other library organizations
- Programs and services

Within these categories, he characterized selected recommendations as priority. Stevens based his findings on related scholarly articles, conversations with individuals involved with NAAL, and his own professional background in New England with cooperative library activities.<sup>326</sup>

#### Membership Recommendations

Stevens observed that the mission statement lacked specific reference to NAAL as a representative of all participating libraries and that cooperative members needed “some privileges” within NAAL.<sup>327</sup> For future membership consideration, Stevens saw merit in including institutions with academic libraries “of an appropriate size, with specialized collections that may be of particular value” as well as institutions with development of graduate education programs underway.<sup>328</sup>

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<sup>324</sup> Stevens, “Proposed Organization and Activities with a Priority Action Plan.”

<sup>325</sup> Ibid.

<sup>326</sup> Ibid.

<sup>327</sup> Ibid.

<sup>328</sup> Ibid.

## Operations Recommendations

The first priority recommendation declared the urgency of bylaws development to define NAAL's internal workings and the establishment of NAAL as an official organization.<sup>329</sup> Stevens even included a priority recommendation that included employment of an outside consultant, "with appropriate experience," for 1983-84 to assist the executive director of ACHE and a member of the Executive council in crafting a written memorandum of understanding between ACHE and NAAL detailing the administration and management of NAAL. This portion of the report elicited an additional handwritten query from a member of the Interim Advisory Council in the form of a large question mark.<sup>330</sup>

With regard to future NAAL personnel considerations, Stevens assigned oversight to the Executive Council for "the administration and management of NAAL, including general supervision of any staff" and to an ACHE staff member for "the role of ACHE in relationship to NAAL."<sup>331</sup> Stevens reiterated that, to avoid conflicts as organizational relationships mature, "it is desirable to develop and adopt a written memorandum of understanding that clearly delineates the relationships between those involved."<sup>332</sup> Specific topics included "administrative reporting relationship between the Director of NAAL and the Executive Director of ACHE" and a "method for resolving any differences of opinion in respect to the management and operation of NAAL," including the Advisory Council, the Executive Director of ACHE, and NAAL staff.<sup>333</sup>

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<sup>329</sup> Stevens, "Proposed Organization and Activities with a Priority Action Plan."

<sup>330</sup> Ibid.

<sup>331</sup> Ibid.

<sup>332</sup> Ibid.

<sup>333</sup> Such a challenge arose in this regard in 2003 when Henry Hector, served as Executive Director of ACHE.

Continuing his discussion of staffing, Stevens urged preparation for a full-time director. He included the need for a detailed job description with built-in flexibility for the candidate and the complementary outcome of providing “an additional means for the Executive Council and Advisory Council of NAAL, and ACHE, to focus more clearly on their expectations for NAAL.”<sup>334</sup> Stevens added specific commitments from ACHE as to fiscal and operational support to be provided to NAAL, and he found that, as a short-term approach, a NAAL member institution could supply personnel to serve as part-time director.

Two additional funding references included, again, the retrospective conversion project and financial support for the NAAL office space. Stevens commended the tremendous impact of volunteer efforts in developing NAAL and underscored needs for State funding to support a retrospective conversion project and a network office. He confirmed that financial support for a NAAL administrative office must take priority. In her study, Simon, too, enumerated the critical role of committed volunteers, in-kind donations, and physical location in the second stage of a nonprofit corporate life cycle.<sup>335</sup>

Stevens did not find just cause for private foundations or funding sources outside Alabama, but he continued to drum for the retrospective collection conversion project, mentioning that “could be demonstrated to be of special significance within Alabama.”<sup>336</sup> He suggested establishment of a NAAL office no later than 1986-87 for a period of at least three years and then the hiring of a network director.

A three-year estimate for operation costs reached \$180,000. Stevens suggested that “approximately one-third of the necessary \$60,000 a year might be secured through membership

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<sup>334</sup> Stevens, “Proposed Organization and Activities with a Priority Action Plan.”

<sup>335</sup> Simon, 18.

<sup>336</sup> Stevens, “Proposed Organization and Activities with a Priority Action Plan.”

fees, established on a sliding scale, charged to participants.”<sup>337</sup> Finally, Stevens underscored the critical nature of the State’s continued financial commitment to NAAL’s success.

The emphasis on the retrospective conversion project returned late in the report as a priority recommendation with a suggestion that NAAL seek assistance from the Southeastern Library and Information Network (SOLINET) to develop descriptions of justification and action. The next priority recommendation included a short-term plan to be negotiated with the California Library Authority for Systems and Services to effect interlibrary communication and electronic mail service among institutions of higher education and other libraries in the state. In the following three recommendations, not priority, Stevens also mentioned a long-range plan for connecting “bibliographic records and the holdings of NAAL participants, to business and industrial firms in Alabama.” He continued to emphasize linking all types of libraries within the state and maintaining existing union lists.

#### Governance Recommendations

Stevens elaborated on the NAAL Advisory Council and defined it to include memberships of one institution, one vote, to encourage “representation of the views of all members, whether large or small and without respect to the amount of their contribution to the organization...[to] help determine that the programs that are developed are of benefit to all of the participants.”<sup>338</sup>

Further, he argued for clear distinctions between the powers of the Executive and Advisory Councils. Expanding his suggestion that cooperative members be ensured voice in the network, Stevens suggested that NAAL consider giving one non-voting membership to the Executive Council from the cooperative members. He also envisioned permanent representation on the Executive

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<sup>337</sup> Stevens, “Proposed Organization and Activities with a Priority Action Plan.”

<sup>338</sup> *Ibid.*

Council by members of the Association of Southeastern Research Libraries (ASERL) and by one or two representatives-at-large from the general membership to be elected by voting members of the Advisory Council.

Continuing with the description of the Executive Council, Stevens suggested ongoing institutional representation at the Advisory and Executive Council levels by officials other than librarians. He made a similar recommendation for participation by ACHE. Additionally, Stevens included a reminder to NAAL to provide for possible modifications through “review and evaluation” of governance documents within a three- to five-year window.<sup>339</sup>

### Visibility Recommendations

Early in his report, Stevens suggested that NAAL determine approaches to assist libraries in becoming members of SOLINET and the Online Computer Library Center (OCLC). This placed NAAL in a visible mentoring role. Stevens described OCLC as “the dominant force in the pattern of early network development...although it did not seek to control, direct, or organize that pattern.”<sup>340</sup>

Two priority recommendations related to financial concerns stressed the use of collected funds for up to two years to support “activities and programs that will keep the network concept alive and give it visibility.”<sup>341</sup> This language correlates directly to stage two characteristics of success and publicity in the nonprofit corporation life cycle.

None of Stevens’s final recommendations for effecting visibility ranked as priority—from NAAL defining itself as “the primary organization for representing the interests and needs of its members in respect to cooperative library programs in services inside and outside Alabama,” to

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<sup>339</sup> Stevens, “Proposed Organization and Activities with a Priority Action Plan.”

<sup>340</sup> Norman D. Stevens, “Library Networks and Resource Sharing in the United States: An Historical and Philosophical Overview,” *Journal of the American Society for Information Science (pre-1986)* 31, no. 6 (November 1980): 410.

<sup>341</sup> Stevens, “Proposed Organization and Activities with a Priority Action Plan.”

NAAL linking its members to SOLINET, and to NAAL connecting with the Alabama Public Library Service (APLS) to determine how NAAL members can engage APLS services.<sup>342</sup> A handwritten question mark in the margin of the eleventh recommendation appeared to query mention of services beyond state lines. With Steven's previous involvement at NELINET, a regional consortium, it was likely that he was targeting regional considerations with mention of "outside Alabama." Details also included exploring beneficial working relationships with SOLINET and OCLC with immediate emphasis on the proposed retrospective conversation project.

Stevens described the public library system in Alabama as a means for NAAL "to demonstrate the ways in which its programs, and the collections and services of its members, can be of benefit to the citizens of Alabama."<sup>343</sup> He added the significance of including the head of APLS for selected NAAL meetings. He also saw a need for potential joint projects between NAAL and APLS.<sup>344</sup> Here again, emphasis on the significance of NAAL's visibility and familiarity beyond academic institutions provided further evidence of second-stage life cycle progression.

Stevens included staffing as a priority, stressing the significance of volunteer help, part-time assistance, and consultants to give NAAL a presence in the larger statewide community.

### Closing Recommendations

In what later proved to be foreshadowing for NAAL projects like AlabamaMosaic and the "Lots of Copies Keep Stuff Safe" (LOCKSS) Program, which became realities early in the twenty-first century, Stevens closed his report with a description of the significant issue of conservation and preservation of library materials.<sup>345</sup> He encouraged a cooperative approach to address this concern

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<sup>342</sup> Stevens, "Proposed Organization and Activities with a Priority Action Plan."

<sup>343</sup> Ibid.

<sup>344</sup> Ibid.

<sup>345</sup> Ibid.



and mentioned SOLINET as a viable partner in developing potential approaches to ensure safekeeping of state treasures. He closed with a broad brush and explained that his offerings “are by no means intended to be comprehensive,” emphasizing the significance of funding and personnel and simultaneously brief deliberation on the challenges of putting full-time staff in place and proving the “ability of NAAL to demonstrate that it is capable to developing and implementing specific projects.”<sup>346</sup> Then he circled back to his consistent emphasis on a statewide retrospective conversion project. Stevens appended his report with “A Priority Action Plan,” Stevens appended his report with “A Priority Action Plan” restating priority recommendations based on existing funds of \$40,000 in NAAL’s coffers.

Stevens’s conclusion continued to stress funding to ensure immediate and ongoing operation of NAAL. Buried in his discussion he offered considered context with a big-picture perspective: “NAAL offers a unique opportunity for ACHE to demonstrate its leadership by assisting in the establishment of a strong ongoing program of library cooperation in Alabama.”<sup>347</sup>

### **Response from NAAL Interim Advisory Council**

Stevens submitted his report to French on September 6, 1983. Momentum for determining the structure for a statewide academic library consortium continued. The Council of Librarians steering committee met ten days later to discuss the findings and formulate recommendations to forward to the NAAL interim advisory council. On September 20, French mailed the Stevens documents to interim advisory council members for review with a meeting for discussion slated for October 7.

Accordingly, on October 3, Fred Heath, dean of libraries at the University of North Alabama, sent a memorandum to members of the steering committee and included “A Priority

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<sup>346</sup> Stevens, “Proposed Organization and Activities with a Priority Action Plan.”

<sup>347</sup> Ibid.

Action Plan,” based on the Stevens action plan.<sup>348</sup> This condensed list worked to “translate the priority recommendation developed by Stevens in his report into a priority plan of action that identifies the steps to be taken, suggests approximate costs, and establishes a timetable.”<sup>349</sup> The steering committee did not attempt to offer a comprehensive response; rather, the targeted action items focused generally on proposed operational items.

### Operations Reaction

The Steering Committee committed to formalizing the organizational structure, bylaws, and memorandum of understanding between NAAL and ACHE by the end of 1984. Participants included the interim director, selected members of the Executive Council, the designated ACHE representative, and legal counsel from member institutions.

In response to Stevens’s recommendation regarding a director position for NAAL, the Steering Committee agreed to select a staff member from a participating institution to serve part-time as interim director. Heath received the nomination and accepted the position, scheduled to commence by January 1, 1984, to last for two years. The budget allotted for salary, part-time clerical assistance, travel expenses, and reimbursement to the institution was \$30,000.

In a related consideration, the Steering Committee approved development of a Request for Proposal (RFP) for commission of the oft-mentioned major retrospective conversion project. The Steering Committee specified that this RFP would be directed “to SOLINET and to selected

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<sup>348</sup> This action plan was updated on March 5, 1983, to reflect minor changes. The phrase “a method” replaced “an RFP,” and the development of guidelines for assessment were in progress and would not be in place by fall 1984 as originally indicated. Fred Heath, “Priority Action Plan: An Update,” March 5, 1984. French papers.

<sup>349</sup> Steering Committee of the Council of Librarians, “A Priority Action Plan,” September 30, 1983. On the agenda for the October 7 meeting of the Interim Advisory Council, Jim Vickrey included three possible responses to the proposed “action” agenda for NAAL: “Alternative A: Maintain status quo for twelve months; no expenditure of funds. Meeting date in 1984 to decide course of action”; “Alternative B: Approve proposed action agenda—dependent upon employment of interim director”; and “Alternative C: Distribute existing fund balance to participating institutions and declare NAAL ‘a nice try.’” French papers.

commercial vendors of conversion services.”<sup>350</sup> The interim director and an *ad hoc* advisory committee formed from NAAL institution libraries received authority to review proposals received.

The Steering Committee also included discussion of the anticipated ACHE Academic Program Review, slated for January 1, 1984, and promoted the significance of NAAL’s capacity in an advisory role for institutions and their libraries. No direct costs impacted this initiative because assistants would come from member institutions.

The Steering Committee examined the possible use of an electronic mail system to expedite interlibrary loans among Alabama academic libraries. With reference to Stevens’s recommendation, such implementation was slated for operation by September 1984 with additional exploration of expanded use of electronic mail.

#### Funding Reaction

For possible fundraising, the Steering Committee also investigated “the means of offering information services to commercial, private, and federal government users on a fee basis.”<sup>351</sup> The Committee anticipated developing protocols in spring 1984. The budget for promotion of such services allowed \$1,500.

#### Summary

Topics and techniques merged to effect an enduring evolution of an “almost unprecedented example of cooperation statewide among the universities.”<sup>352</sup> A rapid succession of “exercises necessitating individual institutional change to support the goals of the new network organization”

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<sup>350</sup> Steering Committee of the Council of Librarians.

<sup>351</sup> Ibid.

<sup>352</sup> Vickrey interview.

marked this second stage of NAAL's life cycle.<sup>353</sup> Details of membership eligibility, governance and voting representation, organizational structure, and network administration and programs dominated discussions held by the interim advisory council responsible for establishing structure. Enthusiasm, collaboration, negotiations, and finetuning contributed to the initiation of a network of academic libraries in Alabama in 1983. Shifts in leadership, technology, and economics stimulated and frustrated efforts, but disciples of the movement captured a collaborative spirit and persevered to reinforce access to information in Alabama.

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<sup>353</sup> Medina and Highfill, "Shaping Consensus," 142.

## CHAPTER FIVE

### GROUNDING CONCEPTS, 1984-1989

“Information production requires continuous reuse of information, and therein lies the dependence of a society on its information resources.”

--Karen Levitan *Journal of the American Society for Information Science* 33, no. 1 (January 1982)

#### Characteristics

Applying function to concept occurs in the third stage of the nonprofit life cycle continuum. The evolution of vision to application leads to opportunities. In Stage Three, participants ponder, “How can we build this to be viable?”<sup>354</sup> Retrospective conversion and collection development initiated the effort for NAAL member institution libraries. The third life cycle stage stretches from two to five years.<sup>355</sup>

#### Funding for Collaboration

In January 1984, an article in the *Gadsden Times* reported that the executive director of ACHE had called for a twenty-three percent increase in the next higher education budget.<sup>356</sup> Joseph Sutton urged legislators to strengthen existing programs by providing sufficient resources, including an applied focus on academic libraries, computers, and equipment. Echoing NAAL’s objective, he also emphasized sustaining a collaborative spirit, “like sand lot baseball,” to ensure quality in higher

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<sup>354</sup> Simon, 21.

<sup>355</sup> Ibid.

<sup>356</sup> “ACHE Asks 23 Percent Hike,” *Gadsden Times* (January 27, 1984), <http://www.news.google.com> (accessed February 21, 2012).

education.<sup>357</sup> Sutton announced that the Alabama Commission on Higher Education (ACHE) had contracted with former Alabama Senator Lister Hill Proctor to assist with planning the state's education budget.<sup>358</sup>

In February 1984, members of the *ad hoc* Committee of Presidents and Librarians (“interim advisory council”) and three members of ACHE met with Proctor to demonstrate the significance of, and funding needs for, NAAL. ACHE representatives in attendance included longtime NAAL advocates Sutton and Elizabeth French as well as commissioner Phillip Sellers.<sup>359</sup>

A handout developed for the meeting between NAAL supporters and Proctor employed a minimalist approach with text and graphics. To facilitate function, a characteristic of stage three life cycle development in nonprofit corporations, this document offered uncomplicated explanation. In addition to a listing of attendees and affiliations, elements presented for discussion included the following:

What is NAAL?  
What are its plans?  
What are the shortcomings of the libraries now?  
How can NAAL remedy this?  
How much will NAAL cost?  
What are the immediate benefits?  
How long can we wait?

This direct summary of essential information was written to encourage discussion, clarification, and action. It would also serve as a draft educational tool at future gatherings of involved participants.

Funding requirements described to Proctor concisely documented pressing needs and referenced the *Cooperative Library Resource Sharing among Universities Supporting Graduate Study in Alabama*

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<sup>357</sup> “ACHE Asks 23 Percent Hike.”

<sup>358</sup> Lister Hill Proctor's given name harkens back to U.S. Senator Lister Hill, longtime advocate for education and health legislation and champion of libraries.

<sup>359</sup> Handout, “NAAL Meeting with Senator Lister Hill Proctor [sic],” ACHE Legislative Liaison (February 2, 1984). French papers.

report submitted by the Council of Librarians in 1982. Descriptive details included comparisons among regional academic libraries in Alabama and specified variables of physical plants, journal collections, book holdings, and staff size. Projected costs to rectify deficiencies in the book collections alone totaled \$86 million.<sup>360</sup>

Further, an illustration in the presentation demonstrated how membership and record sharing through the Online College Library Center (OCLC), a shared bibliographic utility, would facilitate efficient development of “a shared record of holdings” based on “existing resources.”<sup>361</sup> State funds would be used to effect data contribution to OCLC. Those libraries converting collection holdings information to machine-readable format would be allowed to use the state funds for collection development. NAAL would act as coordinator and resource for these activities, which would strengthen academic research through synchronized efforts.

As the handout explained, because “these weak libraries do not share a significant common data base...there is no effective way for any of these libraries to know much about the collections of others.” The technological solution would “initiate a coordinated plan of collection assessment and development which will reduce redundant acquisitions and permit the state of Alabama to begin to develop research library collections on a par with those in other Southern states.”<sup>362</sup>

The cost of converting three million titles involved \$6 million, a five-year conversion program, and ongoing annual expense for NAAL through ACHE of \$90,000 to \$100,000, extending beyond the bibliographic conversion project.<sup>363</sup> The Interim Advisory Council members stressed the urgency of action, emphasizing a critical issue related to academic libraries with individualized and

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<sup>360</sup> “NAAL Meeting with Senator Lister Hill Procter [sic], ACHE Legislative Liaison,” February 2, 1984. French papers.

<sup>361</sup> Ibid.

<sup>362</sup> Ibid.

<sup>363</sup> Ibid.

therefore isolated automated catalog systems: “Important collections may in effect remain inaccessible to the wider public”<sup>364</sup> The committee proclaimed benefits, including allowing “Alabama to become the first state in which the holdings of all its academic libraries are accessible in a shared data base.”<sup>365</sup> Fred Heath, dean of library services at the University of North Alabama, agreed to serve as interim director of NAAL during this early developmental stage. He emphasized coordinated automation efforts and pointed out that five academic libraries were in process of “creating their own automated library systems”: University of Alabama, Auburn University, University of Alabama at Birmingham, University of North Alabama, and University of South Alabama. Other identified advantages included timely linkage among statewide collections and reinforcement of local collection deficiencies. Heath explained the basic purpose of NAAL’s establishment in a *Times Daily* interview: ““The research profile which each institution can offer its faculty and students as well as the general public will be significantly strengthened.”” He emphasized the financial benefit to the state of Alabama, too, when he stressed how ““improved research capabilities will permit the state to more effectively compete for industries in the knowledge-based sector of the economy.””<sup>366</sup>

### **ACHE and NAAL**

By June 1984, completion of a revised draft copy of the “Memorandum of Agreement between the Alabama Commission on Higher Education and the Network of Alabama Academic Libraries, an Unincorporated Association” had been accomplished as recommended by consultant Norman Stevens in his September 1983 report. Again, the strength of forward motion in this third

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<sup>364</sup> “NAAL Meeting with Senator Lister Hill Procter [sic].”

<sup>365</sup> Ibid.

<sup>366</sup> “Network Will Link University Libraries,” *Times Daily* (July 10, 1984). <http://news.google.com/newspapers?nid=1842&dat=19840710&id=9mMeAAAIAAJ&sjid=DckEAAAIAAJ&pg=1620,2711610> (accessed February 20, 2013).



stage of NAAL's life cycle remains obvious. The specific purpose of this memorandum was "to provide for the administration of this special appropriation by ACHE in such a fashion to utilize the greatest extent possible the special expertise possessed by the representatives of the member institutions on the Advisory Council of NAAL."<sup>367</sup> The referenced appropriation in the amount of \$500,000 from the State Legislature to ACHE was designated to support NAAL for the 1984-1985 fiscal year.<sup>368</sup>

The interim advisory council followed Stevens's urgent behest to qualify the relationship between NAAL and ACHE. Specific considerations of the agreement between the two included a separate NAAL account and budget; appointment of a director and supporting staff to be employed by ACHE; authority for NAAL to recommend program funds to General Member institutions; office space, utilities, and equipment support provided by ACHE for NAAL's use; consultations between ACHE and NAAL regarding indirect costs of administering NAAL; progress reports from NAAL; creation and staffing of NAAL as "a new operating unit" by ACHE; and appointment of the NAAL Advisory Council as an official advisory council to ACHE. The chairs of both ACHE and the Advisory Council of NAAL signed this memorandum of agreement.<sup>369</sup>

The opening of the memorandum reviewed NAAL's history, from ACHE's endorsement of the Council of Librarians' report in 1982 and agreement to request a legislative appropriation of \$1,090,000 to support NAAL for the 1983-1984 fiscal year to NAAL's creation as an unincorporated association in June 1983. Also mentioned was inclusion of participation by public and private institutions, including their underwriting of the project for the first year. NAAL

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<sup>367</sup> "Memorandum of Agreement between the Alabama Commission on Higher Education and the Network of Alabama Academic Libraries, an Unincorporated Association" (June 18, 1984).

<sup>368</sup> Meeting minutes, Network of Alabama Academic Libraries, Executive Council, September 12, 1985.

<sup>369</sup> "Memorandum of Agreement between the Alabama Commission on Higher Education and the Network of Alabama Academic Libraries, an Unincorporated Association" (June 18, 1984).

Executive Director Sue Medina reiterated that participation in NAAL “was extended to both publicly supported and privately supported colleges and universities.”<sup>370</sup> She recalled that Alabama has had a longstanding “working relationship with the private institutions through grants for Alabama residents who attended them” and that legislators would not find their involvement in NAAL to be “unusual...when they were approached for funding.”<sup>371</sup> Medina also pointed out that several of NAAL’s charter members included those who received partial state assistance and religious denomination funding: Tuskegee University, an historically black institution; Birmingham Southern University, and Samford University.

### **Retrospective Conversion and Collection Development**

Ongoing attention to the pursuit of legislative funding to establish the NAAL office and to effect the retrospective conversion project transferred to the network as a significant goal from Stevens’s recommendations. NAAL’s steering committee targeted fall 1984 for project evaluation, to include “accomplishments to date, remaining funds, prospects for ongoing funding” and review of other matters and development of an action plan to commence in 1985. The motivation for the retrospective conversion project evolved from appeal to ego (“the opportunity to be the first set of academic libraries to have accomplished that commonly held goal on a statewide basis”) to facilitation of regeneration.<sup>372</sup> Assuring sustained vitality of a nonprofit corporation anchors activities in the third stage of the life cycle.

A nationwide search for the executive director of NAAL commenced in fall 1984, and, effective April 2, 1985, Sue Medina assumed the position.<sup>373</sup> In this part-time role as interim director

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<sup>370</sup> Medina and Highfill, “Effective Governance,” 16.

<sup>371</sup> *Ibid.*

<sup>372</sup> Meeting minutes, Network of Alabama Academic Libraries, Executive Council, October 22, 1985.

<sup>373</sup> *Ibid.*

from 1984 to 1985, Heath had grounded the nascent NAAL administration through his familiarity with state councils of higher education and academic libraries.<sup>374</sup> Medina, too, was well versed in challenges facing library consortia. Stephens commented on the hiring selection process:

Once we decided we were going to go forward and we set up the initial membership, our first goal was to hire a person to run the program. And so I would be remiss if I didn't say probably one of the major, if not the major noteworthy event, that we did very early on was to hire Sue Medina. Dr. Medina brought with her a history of service, a history of librarianship, a history of politics—working in political arena—a history of collaboration, working in a collaborative environment.<sup>375</sup>

With her employment, through ACHE the NAAL office received clerical and organizational support as well as word and data processing access.

To facilitate the conversion of existing print card catalogs to electronic format, NAAL members received membership in the Southeastern Library Network (SOLINET), a regional library cooperative.<sup>376</sup> SOLINET offered a developed technology infrastructure for advancement of resource sharing goals among academic libraries in Alabama.<sup>377</sup> The conversion of bibliographic records allowed record sharing among all NAAL members upon installation of terminals and data lines. As early as 1985, institutions demonstrated strong support for NAAL by directing “supplemental funding from their institution or diverted funds in their own budgets for retrospective conversion.”<sup>378</sup> Medina commented on financial contributions made by institutions to shore up this critical effort:

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<sup>374</sup> Heath's doctoral research centered on the policy role of the Virginia State Council of Higher Education, and he completed his degree in 1980. From 1980-1987, he served as Dean of Library Services at the University of North Alabama.

<sup>375</sup> Stephens interview.

<sup>376</sup> Medina and Highfill described SOLINET as “a regional OCLC broker.” In “Shaping Consensus,” 142.

<sup>377</sup> SOLINET members received access to a regional bibliographic database, online access to other databases (e.g., Library of Congress), online subject searching, and interlibrary loan system. See “SOLINET Maps Long-Range Plan: Online Database Access,” *Library Journal* (October 1, 1978): 1892.

<sup>378</sup> Meeting minutes, Network of Alabama Academic Libraries, Executive Council, October 22, 1985. Stevens papers.

Based on the initial analysis, NAAL asked for \$1.5 million a year for five years. We didn't get that. Well, one year we got 700,000 [dollars], but that was gone the next year. The institutions made up the difference, and we did that retrospective conversation project...in five years without the 1.5 million [dollars]. And that was based on the actual numbers of records that needed to be converted and the cost that SOLINET was charging to convert them...To me that was a phenomenal commitment on the part of the institutions.<sup>379</sup>

In a report to the NAAL Executive Committee, French also underscored the significance of the “innovative” cooperative collection efforts in Alabama when she returned from “Coordinating Cooperative Collection Development: A National Perspective,” a workshop held in April 1985 in Chicago.<sup>380</sup>

With assistance from SOLINET staff during NAAL's first operational year, library staff converted 484,357 bibliographic records from card to machine-readable format.<sup>381</sup> By 1990, NAAL had contributed “over two million locations and records for print materials to the OCLC database for NAAL libraries.”<sup>382</sup> OCLC provides access to a worldwide online public access catalog (OPAC) and facilitates shared cataloging through standard machine-readable records (MARC).

NAAL met its five-year goal for the conversion project and “became the first state to complete a machine-readable database of circulating print academic library resources.”<sup>383</sup> Medina provided reassurances about the investments made in this effort: “Ultimately, that paid off because retrospective conversion was the biggest expense for...cataloging...By getting...[the] online database ready to go, when it came time to put a system in, which most of the libraries did not have

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<sup>379</sup> Medina interview.

<sup>380</sup> Meeting minutes, Network of Alabama Academic Libraries, Executive Council Meeting, May 7, 1985. See Wilson Luquire, ed., *Coordinating Cooperative Collection Development: a National Perspective* (New York: Haworth Press, 1986).

<sup>381</sup> Joseph T. Sutton to S. Richardson Hill, President UAB, November 5, 1985.

<sup>382</sup> Medina and Highfill, “Effective Governance,” 18.

<sup>383</sup> “An Electronic Gateway to Information: A Virtual Library for the Millennium” <http://www.ache.state.al.us/NAAL/egateway.PDF> (accessed April 1, 2013).

already...that was an expense they did not have to meet.”<sup>384</sup> Established, consistent formats for bibliographic records served as another benefit of the statewide retrospective bibliographic record conversion project because “acceptance of OCLC cataloging standards also meant that NAAL did not need to negotiate agreement on standards for Alabama contributions to the online database.”<sup>385</sup>

Record conversion initiated collection assessments at individual NAAL member libraries. *Cooperative Library Resource Sharing among Universities Supporting Graduate Study in Alabama* report, developed by the Council of Librarians in 1982, included recommendations to “initiate a statewide series of coordinated academic library analyses to identify the collection strengths and weaknesses of each academic library” and, using collected information, to “eliminate existing quantitative and qualitative collection deficiencies.”<sup>386</sup> A complementary suggestion encouraged development of “a reasonable mechanism for reviewing library collection adequacy as part of the process of review and approval of new academic programs [to] insure that collections adequate to support these programs are in place or will be funded within five years from initial program approval.”<sup>387</sup>

Medina and Highfill addressed the sensitive topic of collection evaluation for individual NAAL member libraries. They grasped how potential “areas of conflict could emerge from efforts to identify particularly weak collections.”<sup>388</sup> As an organization external to these libraries, NAAL held responsibility for coordinating collective collection development and fostering an environment

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<sup>384</sup> Medina interview.

<sup>385</sup> Medina and Highfill, “Shaping Consensus,” 142.

<sup>386</sup> Alabama Commission on Higher Education Council of Librarians, 8.

<sup>387</sup> Ibid.

<sup>388</sup> Medina and Highfill, “Shaping Consensus,” 143.

in which “librarians would be required to forego the traditional focus on a single collection housed in one place and embrace a newer construct of statewide resources.”<sup>389</sup>

Medina and Highfill identified obvious concerns: “Although librarians might sense intuitively the gaps and shortcomings of their collections, it was discomfoting to them to consider that NAAL would reveal these deficiencies publicly...any acknowledgement of deficiencies might, by inference, be viewed as a criticism of current librarians and their stewardship of resources.”<sup>390</sup> Sensitivity to these issues in an environment of unprecedented change mitigated a potentially negative response from the very professionals in the field who would serve in leadership roles. The methodology chosen to frame the documentation of individual assessments included “enlightened self-interest.”<sup>391</sup>

Medina and Highfill provided details about this approach:

By stressing that librarians in each institution would compile and review raw data and interpret the meaning and value of those data to substantiate strengths or weakness, NAAL was able to overcome objections to sharing the results of collection evaluations. Availability of funds for acquisitions to correct deficiencies also served as a powerful incentive in overcoming librarian reticence to evaluate collections and share findings.<sup>392</sup>

In 1987 NAAL published a collection development aid to facilitate support for a statewide collection effort. Specifically, the *Collection Assessment Manual* provided best practices for assessment implementation, including specific descriptive data items to be included in written appraisals.<sup>393</sup>

NAAL members and additional academic institutions throughout Alabama participated in workshops to encourage informed participation and mitigate possible concerns. Longtime Director

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<sup>389</sup> Medina and Highfill, “Shaping Consensus,” 143.

<sup>390</sup> Ibid., 149.

<sup>391</sup> Medina interview.

<sup>392</sup> Medina and Highfill, “Shaping Consensus,” 149-50.

<sup>393</sup> Network of Alabama Academic Libraries, Collection Development Committee, *Collection Assessment Manual*. (Montgomery, AL: Network of Alabama Academic Libraries, Alabama Commission on Higher Education, 1987).

of Libraries at the University of West Alabama, Neil Snider described his experience in collection development as a participant in NAAL:

You had to go through a collection development process. And the manual is really similar to the collection development process developed by the College and Research Libraries of the American Library Association. And, of course, you had to identify your collection strength and what level of instruction it would support and where you wanted to lead it. Now again, to me, this was one of the great works of NAAL because we had to do this so many times that collection assessment just almost became second nature to us.<sup>394</sup>

Snider also referred to the quantified approach to collection development: “To me, that was one of the great, great benefits of NAAL because it got us into this scientific way of assessing collections.” A collective, standardized methodology improved the process and enhanced the collaborative emphasis presented by NAAL. Further, collecting information permitted evaluation of holdings at individual sites.

Further emphasis on collaboration was evidenced by NAAL’s early commitment to connect with the University of Alabama Graduate School of Library Service. In 1985, NAAL and the graduate library school co-sponsored a Weekend College program emphasizing cooperation and collection management “to ensure new graduates have the necessary skills to meet the statewide resource sharing goals.”<sup>395</sup> Additionally, NAAL sponsored interns enrolled in the University of Alabama Graduate School of Library Service in 1987 and 1988. Outcomes included a published journal article on Alabama academic libraries and collection development; a directory of special collections that included collecting priorities and strengths, and a second directory of special collections in Alabama academic libraries and selected other libraries.<sup>396</sup> Continuing the tradition of

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<sup>394</sup> Snider interview.

<sup>395</sup> Annual Report, Network of Alabama Academic Libraries, NAAL Executive Council, October 22, 1985. Medina and Highfill mention this training in “Shaping Consensus.”

<sup>396</sup> <http://www.ache.state.al.us/NAAL/NAAL%201984-2009.pdf> (accessed April 11, 2013).

communal activities, Joan Atkinson, then director of the Library School communicated and cooperated with NAAL to stress recruitment of students to the field of academic librarianship.<sup>397</sup>

Similarly, Elizabeth Aversa, director of the School of Library and Information Studies (SLIS) from 2003 -2011, attended the 2008 NAAL Annual Planning Retreat as an invited participant and presented the “NAAL Update on SLIS” to attendees. NAAL and SLIS collaborated to strengthen relationships and reinforce best practices for both practicing and future academic librarians.

In another cooperative venture, NAAL and the Alabama Public Library Service (APLS) co-sponsored a statewide automation study and continued it into 1985-86. Following the retrospective conversion efforts during these years, collection development emerged as a major emphasis for NAAL. Professional outreach and training from NAAL emphasized policy development, collection assessment and enhancement, and fundraising. Further, NAAL member institutions augmented the instruction with ongoing feedback concerning a broad range of topics, including the NAAL collection development manual to cataloging records, and additional training opportunities.

Institutions that completed the retrospective conversion of bibliographic records received base grants of \$5,500 and additional monies based on percentage of holdings in their collections. To ensure that materials added to collections ameliorated research deficiencies, NAAL required that member institutions certify completion of their retrospective conversion of circulating collections. Following that effort, institutions submitted written descriptions of subject areas targeted for enhancement and certified resource availability for interlibrary loan to NAAL institutions.<sup>398</sup>

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<sup>397</sup> NAAL 2003 Planning Retreat. Atkinson served as Director of the School of Library Studies from 1997-2003.

<sup>398</sup> Sutton to Hill, November 5, 1985.



## Interlibrary Loan Expansion

New expanded interlibrary loan practices improved access to graduate research materials for students and faculty among Alabama's institutions of higher learning. To encourage "a strong statewide resource-sharing program," NAAL developed a program to reimburse members for costs associated with the service.<sup>399</sup> As such, member institutions were encouraged to participate in interlibrary loans with other NAAL member libraries. Specifically, "a library is reimbursed for 'net loans,' the balance of its...lending transactions remaining after its borrowing transactions are subtracted from its total number of lending transactions."<sup>400</sup>

The benefit evolved from borrowing materials already owned by a NAAL institution rather than funding duplicate purchases at multiple locations within the state. Stephens captured the spirit of NAAL's vision for interlibrary loan: "You are there as equal partners but you don't have to be there as equal contributors. You don't have to give and take the same amount. You can be a taker or you can be a giver. And in some cases you're going to give and in some cases you're going to take. But the first goal is that those don't have to equal."<sup>401</sup>

Additionally, NAAL put into place methodology to monitor lending and borrowing that occurred between academic and public libraries in Alabama, which then allowed for funding reimbursement requests to be directed to APLS for interlibrary loans made by academic libraries for fiscal year 1986-87. By capturing interlibrary loan data, NAAL was able to evaluate volume and patterns of the service within the state.

An opposing opinion regarding the NAAL interlibrary loan policy surfaced on September 30, 1987, when the director of the Biomedical Library at the University of South Alabama, Robert

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<sup>399</sup> Medina and Highfill, "Shaping Consensus," 156.

<sup>400</sup> Draft, NAAL brochure, May 1988. Stephens papers.

<sup>401</sup> Stephens interview.

Donnell appeared before the NAAL Resource Sharing Committee to enter an “objection to the proposal to link the Network of Alabama Academic Libraries collection development policy to its resources sharing program.”<sup>402</sup> He found that the NAAL interlibrary loan procedures were “coercive and has the effect of NAAL unilaterally determining the internal operating policies and procedures of the individual libraries.” Specifically, he did not want to channel materials through OCLC because, from his perspective, biomedical research materials fell under the National Library of Medicine protocol. The University of South Alabama was a founding member of NAAL.

No formal action was necessary because the NAAL Advisory Council “reaffirmed its position regarding institutional participation at its meeting July 16, 1987.”<sup>403</sup> On October 2, 1987, Medina responded in writing to Donnell’s concern by reiterating that institutions, not libraries, made up NAAL membership, by describing the approach to effective resource sharing, and by detailing NAAL’s use of OCLC statistics. Her closing sentence served as a summation for the network’s mission: “The experience of our members has been that NAAL *benefits each participating institution*, but most importantly, improved library services and collections benefit Alabama’s students, scholars, and researchers.”<sup>404</sup> Proving the viability of NAAL, this challenge and the resulting response allowed an opportunity for demonstration of the staying power the network effected in the three years since its official formation.

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<sup>402</sup> Robert Donnell, “Testimony Presented to NAAL Resource Sharing Committee meeting in Montgomery on September 30, 1987.” Attachment to memorandum from Sue Medina to Members, 1987-1987 [sic] Resource Sharing Committee (October 9, 1987). Stephens papers.

<sup>403</sup> Meeting minutes, Network of Alabama Academic Libraries, Resource Sharing Committee, October 9, 1987. Stephens papers.

<sup>404</sup> Sue Medina, correspondence to Robert Donnell (October 2, 1987). Stephens papers.

## State Depository Program

The Alabama Department of Archives and History (ADAH) archives state documents and records. Delays in delivery of materials from state agencies and limited funding to support the Alabama Clearinghouse for State Publications law, passed in 1993, hindered efforts of preservation and access. With emphasis on government documents protection, NAAL assumed an active role early in the effort to improve public access to information published by state agencies and to ensure employment of best preservation practices. Medina, Highfill, and Stephens contributed to initial efforts of the APLS to establish a depository program for Alabama. By 1987, Alabama House and Senate versions of state publications depository bills were pending.<sup>405</sup> The synopsis of the substitute for H.B. 32 established that “the Alabama Publications Clearinghouse as a division of the Alabama Public Library Service and provides for its operations, duties and authority...[and that] funding will be provided from appropriations made to the Alabama Public Library Service.”<sup>406</sup> However, it was not until 1993 that the Alabama Clearinghouse for State Publications law passed, and, even then, the Legislature did not provide necessary funding to the APLS to support the depository system.<sup>407</sup>

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<sup>405</sup> Blane K. Dessy, Director of Alabama Public Library Service, memorandum to Edwin Bridges et al., May 29, 1987.

<sup>406</sup> Dessy, memorandum to Bridges.

<sup>407</sup> Colleen Valente, “Cataloging and Archiving State Government Publications,” *Cataloging and Classification Quarterly* 48, no. 4 (May 2010): 316. See Brenda K. Jones, “Alabama,” in “State-by-State Report on Permanent Public Access to Electronic Government Information.” Paper 8 in *Articles, Chapters, and Online Publications*, ed. Richard J. Matthew et al. (Chicago: Government Relations Committee and Washington Affairs Office, American Association of Law Libraries, 2003). [http://digitalcommons.law.uga.edu/law\\_lib\\_artchop/8](http://digitalcommons.law.uga.edu/law_lib_artchop/8). (accessed February 29, 2012). Jones’s article provided a genealogy of specific Alabama code citations with regard to maintenance and preservation of public records.

With these difficulties at the forefront, Colleen Valente succinctly describes the challenges that ensued:

Libraries in the state have not only had difficulty obtaining state publications; they have had trouble learning of their existence. That situation was, and still is, exacerbated by the lack of a master list of documents published by the state. Other laws have made the archiving and preservation of state records the responsibility of the Alabama Department of Archives and History (ADAH). While the Department does receive some documents, as well as records from agencies, it may receive them years after their publication.<sup>408</sup>

The chair of the Alabama State Publications Task Force echoed Valente with details of “the historical failure of the State to develop a comprehensive state publications depository program.” Ongoing absence of funding, lack of “consistent and timely” provision of state publications, and want of a central agency for collection and cataloging of state publications challenged recordkeeping obligations.<sup>409</sup> The onset of electronic publication and digital preservation formats enabled expanded discussion and “led the NAAL Advisory Council to create the State Publications and Records Task Force in September 2005.”<sup>410</sup> Information technology advances in the 1990s influenced expectations regarding access to electronic documents of Alabama citizens as “e-government” became a familiar concept.<sup>411</sup>

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<sup>408</sup> Valente, 321.

<sup>409</sup> State Publications and Records Task Force, “Draft minutes, Network of Alabama Academic Libraries: State Publications Task Force Pilot Project in 2006-7, December 13, 2006,” <http://sprtf.pbworks.com/w/page/8889635/Minutes%2012-13-06> (accessed February 28, 2012).

<sup>410</sup> Ibid.

<sup>411</sup> For a detailed discussion of the background and impact of the 1980 Paperwork Reduction Act and e-government, see Shannon Howle Schelin, “A Primer on E-Government,” in *Encyclopedia of Information Science and Technology*, ed. Mehdi Khosrowpour (Hershey, PA: Idea Reference Group, 2005).

## Art Inventory

Near the end of 1989, NAAL and APLS collaborated to develop an inventory of art held in academic and public libraries statewide. Surveys were used to collect information. The State Council on the Arts provided funding for engaging art historians as consultants tasked with evaluating “needs for security, conservation, and environmental conditions.” They considered details found in the survey instruments as well as in accompanying photographs and slides.<sup>412</sup> Medina pointed out the significance of these non-cataloged resources and emphasized works by local artists and pieces supported by the federal Works Projects Administration (WPA). Emphasis on WPA art scholarship highlighted the urgency of documentation for this endangered genre in Alabama. Preserving information about these treasures foreshadowed the establishment of AlabamaMosaic in 2010, a collection of digital resources throughout the state.

## Summary

By the third stage of its life cycle, NAAL programming assumed multiple dimensions but remained focused on graduate education and research. Developing skills over a brief period of years, member institutions participated on councils, committees and subcommittees to wrangle cooperative collection development and interlibrary loan expansion. Resource sharing and access remained at the forefront as “the organizational role played by NAAL emerged from the expectations of others.”<sup>413</sup> Medina reiterated, “The NAAL library directors didn’t talk about it so much as they acted on it.”<sup>414</sup>

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<sup>412</sup> Sue O. Medina, memorandum to Academic Libraries in Alabama and Network of Alabama Academic Libraries, November 22, 1989. Stephens papers.

<sup>413</sup> Medina and Highfill, “Shaping Consensus,” 141.

<sup>414</sup> Medina interview.

## CHAPTER SIX

### ACHIEVING SUSTAINABILITY: 1990-2000

“By all indications, the long-term challenge to organizational survival will center on organizations’ capacity to sustain relationships with core constituencies.”

–Jennifer Alexander, “Adaptive Strategies of Nonprofit Human Service Organizations in an Era of Devolution and New Public Management” *Nonprofit Management and Leadership* 10, no. 3 (spring 2000)

#### **Characteristics**

Peak functionality denotes the fourth stage of the life cycle for nonprofit organizations. Emphasis on maintaining the enterprise frames the dominant question: “How can we sustain the momentum?”<sup>415</sup> Strong leadership, expanded participation, solid funding, and progressive programs facilitate original ideas, but threats can include complacency, weak governance, and exaggerated focus on minor details. To sustain momentum, NAAL launched initiatives in preservation, art inventories, new membership categories, expanded outreach, and digital delivery. This phase can extend from seven to thirty years.

#### **Preservation Plan**

Early in 1990, Sue Medina, executive director of the Network of Alabama Academic Libraries (NAAL), approached NAAL’s Advisory Council of general and cooperative members concerning a new emphasis on preservation of materials in institutions statewide. She sent out a list

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<sup>415</sup> Simon, 26.

of possible activities and requested input for this progressive proposal.<sup>416</sup> Forward-looking objectives included identifying unique research materials in NAAL libraries and beyond in other repositories; determining needs for training in conservation, preservation, and restoration; establishing a conservation resource and referral center; and developing a cache of emergency management plans, procedures, and guidelines.<sup>417</sup>

Also in 1990, with an emphasis on special collections, Tuskegee University, Auburn University, and University of Alabama received the first NAAL research support grants to bolster additions of unique research materials statewide. Specific areas of focus included Black Studies at Tuskegee University, English literature and United States patents backfiles at Auburn University, and music at The University of Alabama.<sup>418</sup> Demonstrating characteristics found in fourth-stage corporate life cycles, NAAL promoted broad inclusion of participant institutions and respective emphases. Diversification and flexibility served as early hallmarks in this era of persistence when the network stretched beyond collection assessment and retrospective conversion to acknowledge idiosyncratic qualities in different institutional settings.

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<sup>416</sup> Sue O. Medina, memorandum to General and Cooperative Members, Network of Alabama Academic Libraries, January 29, 1990. Stephens papers.

<sup>417</sup> Network of Alabama Academic Libraries, "Preservation Program Plan: Discussion Paper Draft (January 1991). Ten years later, in 2001, NAAL received a two-year National Leadership Grant from the Institute of Museum and Library Services (IMLS) to underwrite documentation of an online collection of digitized materials reflective of Alabama's history, culture, places, and people. IMLS awarded a second National Leadership Grant to NAAL to fund the Alabama Digital Preservation Network (ADPNet).

<sup>418</sup> Alabama Commission for Higher Education publication "Network of Alabama Academic Libraries: Celebrating Twenty-Five Years of Successful Collaboration 1984-2009, Updated, October 2009," <http://www.ache.state.al.us/NAAL/NAAL%201984-2009.pdf> (accessed October 1, 2012).

## Budget Concerns

The United States experienced widespread recession in the early 1990s brought on by the 1987 stock market crash, increased oil prices, and declining consumer confidence.<sup>419</sup> The Center on Budget and Policy Priorities, a nonprofit organization that examines federal and state fiscal policies, recognized the end of this recession as March 1991 but noted that “the largest deficits that states experienced...came in state fiscal year 1992.”<sup>420</sup> The National Governors’ Association noted that “recession-battered state governments are facing the worst budget pinch in fifteen years...cuts in direct services, lower state support for education...[and] double-digit rates of growth in demands for spending on Medicaid...and prisons.”<sup>421</sup> These challenges impacted states just as public access to the Internet became available.

In Alabama, a real threat occurred with regard to NAAL’s funding in 1991 from Auburn Library Director William Highfill’s perspective. Following an announcement of proration at 3.75 percent in January 1991, Medina provided a precise description of the impact as a nearly \$41,000 reduction in NAAL’s budget, including over \$31,000 from the collection development program. By August 1992, with multiple projects underway and rapidly changing technology nudging the network’s progression, another announced cut caused Highfill to express collective “chagrin” from the NAAL Executive Council that an “additional \$110,000 cut will further handicap...[NAAL’s] efforts to strengthen information resources in Alabama” after learning of additional reductions in

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<sup>419</sup> Regional Oral History Office, Bancroft Library, University of California, Berkeley, “Slaying the Dragon of Debt: Fiscal Politics and Policies from the 1970s to the Present,” <http://bancroft.berkeley.edu/ROHO/projects/debt/1990srecession.html> (accessed April 15, 2013).

<sup>420</sup> Iris J. Lay, Nicholas Johnson, and Elizabeth McNichol, “Additional Federal Fiscal Relief Needed to Help Staets Address Recession’s Impact,” <http://www.cbpp.org/cms/?fa=view&id=2988> (accessed April 15, 2013).

<sup>421</sup> Raymond C. Scheppach, “Plague of Worst Budget Pinch in 15 Years Persists for States,” *Journal Record* [Oklahoma City, Oklahoma] (April 22, 1992): 113. <http://search.proquest.com/docview/259317375?accountid=14472> (accessed April 11, 2013).



August.<sup>422</sup> The Executive Council had received news of a “late-night cut in the NAAL budget” and expressed regret “that a stronger effort was not made by [Alabama Commission on Higher Education] ACHE to protect the NAAL budget.”<sup>423</sup>

Access to research resources, by this time, had improved with the application of a state-wide database, fax delivery of interlibrary loan articles, and an automated interlibrary loan system. As Highfill argued, “Down in Montgomery, it’s hard to fight [against] libraries.”<sup>424</sup> Accordingly, he urged Henry Hector, executive director of ACHE, to resume ACHE’s original lobbying efforts for NAAL.<sup>425</sup>

Phase four characteristics in a nonprofit corporation life cycle include survival through tenacious leadership. In his discussion of NAAL’s success factors, University of West Alabama Library Director Neil Snider reified evidence of this fourth stage of corporate life cycle when he highlighted the ongoing proactive presence of Medina, Highfill, and University of Alabama at Birmingham Melvyn Sterne Library Director Jerry Stephens in the network’s development: “The glue that held all of this together was Dr. Medina...Dr. Bill Highfill has given a lot of leadership to NAAL, and certainly Jerry Stephens at UAB.”<sup>426</sup>

Highfill encouraged other members of the NAAL Executive Council as well as general and cooperative members to share information with university administrators about the deep cuts in the NAAL budget.<sup>427</sup> He emphasized ACHE’s longstanding commitment to NAAL and the cost-savings

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<sup>422</sup> William C. Highfill to Henry Hector, August 27, 1991. Stephens papers.

<sup>423</sup> Ibid.

<sup>424</sup> Highfill interview.

<sup>425</sup> As June Engle noted in her dissertation, the “strong leadership position of Highfill (Auburn) within the academic library community was evident in comments made by almost every person interviewed by this researcher,” 526, note 277.

<sup>426</sup> Snider interview.

<sup>427</sup> Highfill to Hector.

provided statewide through “cooperative collection development, library automation, networking, and resource sharing.”<sup>428</sup>

### **NAAL Automation Plan**

NAAL sustained visibility in Montgomery. In October 1991 representatives from the Executive Council, including Stephens, presented an automation plan, “A Network for the Nineties” to ACHE. The Internet became readily available for public use early in the 1990s.<sup>429</sup> NAAL forecasted expanded statewide applications of connectivity via technology. The plan included historical information, an overview of current automation activity, and description of an “initial telecommunication network to link local library systems...through the Alabama Supercomputer Network Authority.”<sup>430</sup> The presentation described how users located at any NAAL member library could search online catalogs for materials available at other NAAL member libraries.

No associated costs were attached to connections with the Alabama Supercomputer Network, “the only state-wide network in Alabama” during this era.<sup>431</sup> Further, NAAL committed to fund licensing fees “to provide statewide access to locally installed information retrieval bases” and to “coordinate planning for additional databases to insure broad coverage rather than redundancy in selection of databases.”<sup>432</sup> Consistent with NAAL’s prior commitments, the projected adoption date for the submitted Automation Plan was July 1991 and the projected date for including funding for

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<sup>428</sup> Highfill to Hector.

<sup>429</sup> [www.internetsociety.org](http://www.internetsociety.org) (accessed October 7, 2012).

<sup>430</sup> “A Network for the Nineties: NAAL Automation Plan” (1991). Stephens files.

<sup>431</sup> “Alabama Supercomputer Authority: Internet and Technology for Education,” <http://www.asc.edu/aboutasa/historyofASA.shtml> (accessed February 17, 2013). A 2009 description at this website updated the description of the Alabama Supercomputer Authority: “This role has expanded from a supercomputer and a few network connections to multiple computing clusters, a massive network, and a whole host of information technology services.”

<sup>432</sup> “A Network for the Nineties: NAAL Automation Plan.”

implementation of the plan in the NAAL 1992-1993 budget request was November 1991.<sup>433</sup>

Providing allowances for expanded participation in research resources provides additional evidence that NAAL was firmly anchored in the fourth phase of life cycle development. Medina complimented Stephens's creative approach to the presentation made to ACHE, which included an online (dial-up) catalog demonstration.<sup>434</sup>

Medina recollected, with humor, how NAAL strategically negotiated for free access to the Alabama Supercomputer data line:

But this is a funny story. The research institutions had the Alabama Supercomputer, and they had data lines. And we heard on the grapevine that the Supercomputer was one-hundred percent booked but that the data lines only needed about one third of their capacity...If we, instead of having to pay for our own data lines, if we could convince the Supercomputer Authority to let us use their telecommunications network—well, then we heard on the grapevine that they were concerned about librarians and security, telecommunications security.

With an established emphasis on shared resources and services, NAAL strove to harness online technology in an efficient, effective manner and link systems among libraries seamlessly. The Alabama Supercomputer Authority could provide access to remote databases. Medina continued her narration:

So we arranged to go up and have a meeting with the CEO Ben Barnes...to talk about using their telecommunications. Free, mind you, free. And we get up there and we do all these nice introductions. They want to hear our proposal. So I said, before anything else, "Well, Dr. Barnes...I feel obligated to raise a concern of the librarians. We've invested millions of dollars in our library catalogs and our databases, and, before we can feel comfortable using your telecommunications network, we have got to have assurances that you're maintaining the highest security possible so no one can damage our catalogs and our databases." And one of the computer scientists said, "You're concerned about security?" And I said, "That's our first concern. You have to give us assurances you can maintain a secure network." And that was the end of that concern. They were glad to have us on board.<sup>435</sup>

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<sup>433</sup> "A Network for the Nineties: NAAL Automation Plan."

<sup>434</sup> Sue O. Medina to Jerry W. Stephens (October 23, 1991). Stephens files.

<sup>435</sup> Medina interview.

Phase four life cycle indicators include nurturing relationships with constituents, and Medina's narrative authenticated NAAL administration's understanding of community.

### **New Graduate Programs**

NAAL's leadership exhibited abiding motivation to protect and enhance the network sustained by responsiveness to statewide needs. As Dean of Libraries at The University of Alabama and chair of the NAAL Executive Council, Charles Osburn wrote to Hector concerning the "policy and procedures surrounding the proposal of new graduate programs."<sup>436</sup> The touchstone publication *Cooperative Library Resource Sharing among Universities Supporting Graduate Study in Alabama* contained recommendations adopted in agreement by network member institutions and ACHE staff. Preliminary investigation for suggested graduate programs included assessment of collection adequacy to ensure that existing library resources proved appropriate support for new research opportunities. In his correspondence, Osburn included two issues identified by NAAL as impacting the projected vigor of the assessment efforts:

The *first* has to do with the lack of uniformity with which the assessment of collection adequacy is brought to bear on decisions about proposed academic programs. Although the Alabama Commission very responsibly prescribed both format and content for the reporting of collection assessments, the Commission nonetheless has achieved decisions on program proposals without benefit of the required information in a number of instances.<sup>437</sup>

He continued, emphasizing allocation of funds:

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<sup>436</sup> Charles Osburn to Henry J. Hector, January 28, 1992. Stephens files.

<sup>437</sup> Ibid.

The *second* problem resides in the allocation of funds to correct reported deficiencies in library resources. When the methodology for the library component was developed, the driving principle was that new funds would be allocated to bring library collections up to minimum standards. In practice, however, new funds are not always budgeted to acquire materials for new programs. Therefore, if students' information needs in new programs are to be met, the library must either reallocate funds, thereby depriving existing programs of financial support, or not support the new program at all.<sup>438</sup>

An appraisal correlated existing library resources to a proposed program's goals and indicated deficiencies. The overriding concern from NAAL emphasized a perceived lack of follow-through for collection assessment despite ACHE's assurances of "ensuring that students entering a program would have immediately available the information resources necessary for successful completion of the program."<sup>439</sup> As a corporation in the fourth stage of its life cycle, NAAL grappled with ACHE's weakened sense of necessity with regard to new academic program development.

### **Hector's Proposal to Revise**

Hector proved to be a controversial figure as director of ACHE. He came to Alabama from Indiana as the search panel's unanimous choice for executive director in late 1990.<sup>440</sup> Subsequently, state appropriations at this time "ushered in a downward spiral of financial austerity for higher education in Alabama," which added to the challenges faced by a new administrator.<sup>441</sup>

On October 6, 1993, Medina sent two memoranda to the NAAL Executive Council. The first described planning ideas submitted to her by Hector with respect to shared library systems

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<sup>438</sup> Osburn to Hector.

<sup>439</sup> Ibid.

<sup>440</sup> "Search Committee Chooses Nominee for ACHE," *Tuscaloosa News* (October 20, 1990).

<sup>441</sup> Cooperative Collection Development for Serials, Draft, March 1996. In 1996 Network of Alabama Academic Libraries Planning Retreat Documents. Stephens papers.

statewide and shared databases.<sup>442</sup> The second reflected a cautionary tone and discussed Hector's exploration of restructuring NAAL to resemble the Small Business Development Consortium.<sup>443</sup>

Medina mentioned in the closing paragraph of the second communication her understanding:

Dr. Hector has asked members of the Executive Council to meet with him on October 14. I do not know if this suggestion is on his agenda for that meeting. However, if it is, you might like to have a copy of the Memorandum of Agreement Between ACHE and NAAL for your information.<sup>444</sup>

The minutes for the NAAL Executive Council meeting in October 1993 include an attachment of Hector's submission of a "Proposal to Revise the ACHE /NAAL *Memorandum of Agreement*," in which he suggested that NAAL's annual state appropriation remain a line item in ACHE's budget and that a NAAL member institution replace ACHE as NAAL's fiscal agent.<sup>445</sup> Such action, if successful, would have hobbled ACHE's administrative relationship with NAAL and would have disallowed Medina "all rights and privileges provided with ACHE employment."<sup>446</sup> Further, Hector's proposal stated that NAAL would "rent space and support from ACHE or relocate" while the original Agreement stated that "ACHE will provide office space, utilities, and equipment support to

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<sup>442</sup> Sue O. Medina, memorandum to Members, Executive Council, October 6, 1993. Stephens papers. This correspondence contained the subject caption "Planning Ideas Suggested by Dr. Hank Hector."

<sup>443</sup> The Alabama Small Business Development Consortium provides counsel to small business statewide at sites located at partner universities, including Alabama State University, Auburn University, Jacksonville State University, Troy University, the University of Alabama, the University of Alabama in Huntsville, the University of North Alabama, the University of South Alabama, and the University of West Alabama. <http://www.asbdc.org/aboutasbdc.html> (accessed October 7, 2012).

<sup>444</sup> Sue O. Medina, memorandum to Members, Executive Council, October 6, 1993. This correspondence contained the subject caption "ACHE/NAAL Agreement."

<sup>445</sup> [Henry Hector], "Proposal to Revise the ACHE/NAAL *Memorandum of Agreement* (October 18, 1993). Here, Hector included specific example: "ACHE would enter into an agreement with this institution for the institution to become NAAL's agent...the University of Alabama at Birmingham is the agent for the Small Business Development Consortium which is funded by the state as a line item in the ACHE budget."

<sup>446</sup> "Memorandum of Agreement Between the Alabama Commission on Higher Education and the Network of Alabama Academic Libraries, an Unincorporated Association, June 18, 1984. Stephens papers.

NAAL in or adjacent to its quarters” and account for indirect costs, “including the allocations of office space, utilities, and support services.”<sup>447</sup>

Discussion of these issues continued at the October 18, 1993, meeting of the NAAL Executive Council. Hector described his concerns with the current agreement between ACHE and NAAL, “in particular with the staff being ACHE employees and the consulting contracts” maintained with attorney Jeff Bennett.<sup>448</sup> The meeting minutes reflected that Executive Council members placed significant emphasis on the fitting statewide nature of NAAL and the inappropriateness of effecting identification of the network with any specific institution of higher learning. The established relationship between ACHE and NAAL was deemed correct because of ACHE’s overarching role as “state coordinating body for higher education.”<sup>449</sup>

Bennett, with whom NAAL continued to contract for legal services, offered a reminder that the presidents of member institutions created NAAL and that “any proposal to revise the agreement should be addressed to them.” The minutes further reflected “much discussion,” after which Hector declared “no urgency” and deferred to the Executive Council “if NAAL feels strongly about the current arrangement.”<sup>450</sup> Hector then left the October 18 Executive Council meeting.

Subsequent to Hector’s exit from this Executive Council meeting, Medina presented her Director’s Report. The account described a previous meeting in which Medina urged Hector to lobby the Legislature for the current NAAL budget request because of the urgency to restore

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<sup>447</sup> Three years later, Hector expressed a diametrically opposing viewpoint when questioned about expenses related to arrangements for a “glitzy” location of the annual Governor’s Conference on Higher Education. In 1996, he explained that university trustees from all over the state “would not want to attend a conference on a ‘college campus’ and that they needed a neutral site.” Bill Poovey, “Officials Pay Big to Attend James’ Education Meetings,” *Tuscaloosa News* (January 24, 1996).

<sup>448</sup> Meeting minutes, Network of Alabama Academic Libraries, 1993-1994 Executive Council, October 18, 1993. Stephens papers.

<sup>449</sup> Ibid.

<sup>450</sup> Ibid.

NAAL's funding to its former levels and to obtain additional new funding. The Executive Council meeting minutes reflect that "Dr. Hector reiterated that he feels lobbying for NAAL should come from the institutions."<sup>451</sup>

Insecurity surrounding the ACHE-NAAL relationship continued. The Executive Board held a special meeting on November 23, 1993, with the express purpose of discussing Hector's proposal to restructure NAAL. The meeting minutes stated that, despite Hector's statements at the previous month's Executive Council meeting, he had "contacted the president of a NAAL member institution and asked that NAAL be transferred to that institution." More ominously, in the planned absence of ACHE Deputy Executive Director William Blow from the NAAL Executive Council meeting, Medina received the following communication from him regarding Hector's projected arrangements:

The Council should understand that "if NAAL is retained by ACHE, Hank wants to rewrite the charter and place the staff and operation directly responsible to him. The Executive Council would function just as other advisory councils do."<sup>452</sup>

Contrary to Hector's goals as interpreted by Blow, NAAL bylaws specified that "[a]ll the powers and duties of the Network are vested in the Advisory Council and its Executive Council."<sup>453</sup> Further, the bylaws specified shared authority between the Advisory and Executive Councils over personnel issues:

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<sup>451</sup> Meeting minutes, Network of Alabama Academic Libraries, 1993-1994 Executive Council, October 18, 1993.

<sup>452</sup> Meeting minutes, Network of Alabama Academic Libraries, 1993-1994 Executive Council, November 23, 1993. Stephens papers. Blow served in ACHE leadership roles, including two terms as interim executive director.

<sup>453</sup> "Bylaws of the Network of Alabama Academic Libraries," Article 2, section 2. <http://www.ache.state.al.us/NAAL/Bylaws.htm> (accessed October 2, 2012).



The Advisory Council shall recommend to the Alabama Commission on Higher Education through its executive director the appointment of a director, who shall serve as the chief executive officer of the Network. Other staff may be appointed as necessary to fulfill the purpose of the Network. The Executive Council shall recommend to ACHE the director's compensation and the size, composition, and compensation of the director's staff. It shall annually evaluate the professional performance of the director and report its findings to the Advisory Council and to the executive director of ACHE.<sup>454</sup>

In response, the Executive Council requested that Bennett draft a response to Hector for review by ACHE membership. In a subsequent letter to Borden Morrow, Baldwin County ACHE member, of ACHE, Stephens wrote, "I think we were all in agreement that NAAL helps support ACHE's mission as a coordinating agency for higher education...I would hope that we can clear the air regarding the hearsay and move forward to resolve the issue."<sup>455</sup>

Organizational studies often include considerations of identity and image.<sup>456</sup> NAAL's sense of autonomy was assured by the absence of privileged association with any one member organization. The significance of boundaries "between an organization and its environment," lies in recognition of both internal and external dynamics.<sup>457</sup> In sharp contrast to former ACHE Executive Director, Joseph Sutton, Hector sought separation for NAAL from ACHE within three years of his appointment. He pressed for relocation of the network from the ACHE office.<sup>458</sup> He refused to lobby for NAAL with the Montgomery legislative contingent for funding although NAAL benefited

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<sup>454</sup> "Bylaws of the Network of Alabama Academic Libraries," Article 4, section 3. <http://www.ache.state.al.us/NAAL/Bylaws.htm> (accessed October 2, 2012).

<sup>455</sup> Jerry W. Stephens to Borden Morrow (January 18, 1994). Stephens papers.

<sup>456</sup> Dennis A. Gioia, Majken Schultz, and Kevin G. Corley, "Organizational Identity, Image, and Adaptive Instability," *Academy of Management Review* 25, no. 1 (2000): 63.

<sup>457</sup> Filipe M Santos and Kathleen M. Eisenhardt, "Organizational Boundaries and Theories of Organization," *Organization Science* 16, no. 5, *Frontiers of Organization Science*, Part 2 of 2 (September-October 2005): 502.

<sup>458</sup> Sutton was described as "the consummate lobbyist": "[H]e would go and talk to the individual legislators who could make a difference." Medina interview.

citizens statewide. Such posturing might be interpreted as “calling into question the merit or importance of core, distinctive, and enduring organizational traits associated with their institutions.”<sup>459</sup> Further, concerns regarding commitment, trustworthiness, honesty, and stress surface when viable communication channels are not open among organizations and individuals.<sup>460</sup> The incompatibility between ACHE and NAAL challenged both organizations to consider their roles with regard to each other and to higher education in Alabama.

Stumbling blocks to achievement occur as common occurrences in the fourth stage of corporate life cycles.<sup>461</sup> With a focus on success, considerations for resolving administrative issues between ACHE and NAAL continued. Ultimately, the two alternatives presented by ACHE were deemed unacceptable. To locate NAAL at a member institution would cause identification of NAAL with that institution, endangering “NAAL’s image as an independent consortium, e.g., not controlled by one institution or faction.”<sup>462</sup> The Executive Council also found that continuing to locate NAAL in ACHE office space but allowing ACHE all oversight and responsibility for NAAL would be “unsatisfactory”:

...because the strength of NAAL is the involvement of the institutions in planning and directing a program that builds on their strengths and meets their needs. This strength cannot be met by a centralized authority. The role of the Advisory Council in overseeing the Network program has been essential to NAAL’s success...[and] the Executive Director of ACHE...is not an observer of NAAL, but a party to its deliberations and decisions.<sup>463</sup>

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<sup>459</sup> Kimberly D. Elsbach and Roderick M. Kramer, “Members’ Responses to Organizational Identity Threats: Encountering and Countering the Business Week Rankings,” *Administrative Science Quarterly* 41, no. 3 (September 1996): 444.

<sup>460</sup> David M. Schweiger and Angelo S. DeNisi, “Communication with Employees Following a Merger: A Longitudinal Field Experiment,” *Academy of Management Journal* 34, no. 1 (March 1991): 120-21.

<sup>461</sup> Simon, 26.

<sup>462</sup> Meeting minutes, Network of Alabama Academic Libraries, 1993-1994 Executive Council, February 22, 1994. Stephens papers.

<sup>463</sup> *Ibid.*

The boundaries described in the acceptable option allowed “ACHE [to] recognize NAAL as an adjunct program with a separate but affiliated identity,” granted ACHE fiscal agency, specified ACHE as host workplace for the NAAL office, and reaffirmed the NAAL Advisory Council as original authority.<sup>464</sup> Such controversy allowed re-evaluation of corporate structure and ultimately informed the future direction of the network, which reinforced the vision of planning and coordinating statewide sharing of academic library resources.<sup>465</sup>

### Political Stirrings

Under the tenure of Governor Fob James, higher education funding faced significant threats. His second term of office began in January 1995, and, by March, Medina had voiced concern for the paucity of advocacy for higher education in Alabama, and she requested permission to publish a full page in the *Montgomery Advertiser* touting Alabama academic libraries and NAAL on May 17, 1995, proclaimed as Alabama Library Day.<sup>466</sup> Select NAAL vendors covered the cost of over \$2,000. Medina expressed “that the public should be informed of the positive developments in improving the state’s information resources.”<sup>467</sup>

James targeted perceived duplication of resources on college campuses and offered to serve as a self-proclaimed “benign dictator” to institutions of higher learning in February 1996.<sup>468</sup> Several months prior, editorial page editor Howell Raines had lambasted James as a “genius of bumpkin

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<sup>464</sup> Meeting minutes, Network of Alabama Academic Libraries, 1993-1994 Executive Council, February 22, 1994.

<sup>465</sup> Meeting minutes, Network of Alabama Academic Libraries, Executive Council Meeting, August 25, 1994. Stephens papers.

<sup>466</sup> Meeting minutes, Network of Alabama Academic Libraries, Executive Council, February 14, 1995. Stephens papers.

<sup>467</sup> Ibid.

<sup>468</sup> “Governor Renews Call to Trim College Spending,” *Tuscaloosa News* (February 25, 1996), <http://news.google.com/newspapers?nid=1817&dat=19960225&id=E80yAAAAIIBAJ&sjid=IaYEAAAAIIBAJ&pg=1550,4794263> (accessed September 25, 2012).

publicity” in *The New York Times*: “He has appalled the state's corporate and civic leaders by pushing a plan to spend less on colleges.”<sup>469</sup> In March 1996, Medina contacted James directly to urge his support in restoring NAAL funding to the 1990-1991 level of \$1,000,000 and copied Hector, who had explicitly stated three years earlier that responsibility for lobbying for funding rested with NAAL members.<sup>470</sup> In this developmental stage, funding and visibility remained concerns critical to the ongoing survival of NAAL and heightened public profile new to NAAL.

In her communication with James, Medina reminded the governor of a pilot program NAAL was sponsoring to provide access from all NAAL institutions to an online database, and she included details of cost savings of 25 percent for this statewide subscription over individual institutional subscriptions.<sup>471</sup> She touted the necessity for current information in fields such as engineering, business, medicine, and allied health. Again stressing the pro-active initiatives of NAAL, Medina explained how the network “developed the necessary infrastructure for sharing and accessing electronic information” over five years, and she contrasted Alabama’s projected \$1,000,000 appropriation to that of Georgia’s \$10,000,000 obligation “for hardware, software, telecommunications, and information databases to develop its statewide information network.”<sup>472</sup> In fall 1995, the Georgia legislature had targeted \$9,900,000 for George Library Learning Online (GALILEO), a consortium of public and private colleges, to benefit “large and small colleges.”<sup>473</sup> Medina’s description predicted development of the Alabama Virtual Library (AVL), too, with her

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<sup>469</sup> Howell Raines, “Editorial Notebook; A Genius of Bad P. R.,” *New York Times* (September 03, 1995), <http://search.proquest.com/docview/430326071?accountid=14472> (accessed September 25, 2012).

<sup>470</sup> Meeting minutes, Network of Alabama Academic Libraries, 1993-1994 Executive Council, October 18, 1993. Stephens papers.

<sup>471</sup> Sue O. Medina to Honorable Fob James, March 15, 1996. Stephens papers.

<sup>472</sup> *Ibid.*

<sup>473</sup> Thomas J. DeLoughry, “Purchasing Power: Cost-Sharing Efforts Help College Libraries Finance Electronic Acquisitions,” *Chronicle of Higher Education* 42, no. 22 (February 9, 1996): A21. Medina attached this article to her letter to James, March 15, 1996.

offer to meet with the governor to “discuss with you a statewide information network and how it can create a virtual library for students in Alabama.”<sup>474</sup> Eventually, all residents of Alabama would be considered information seekers and be granted access resources outside bricks-and-mortar libraries. In 1996, Medina’s communication referred to broad access and included parallel phrasing: “anyone affiliated with the graduate institutions can browse *Expanded Academic Index* to locate, view, and print articles from such publications as *U.S. News and World Report*, *PC Magazine*, *International Journal of Advertising*, and *The Economist*.” While the description specifically referenced institutions with graduate programs, mention of more generalized offerings and availability beckoned.

Medina prepared and sent a packet of information to ACHE to complement her presentation to members on March 15, 1996. On March 8, she had forwarded a copy of this packet to Jerry Stephens that included a handwritten note explaining that she hoped to emphasize two topics: continuation of active lobbying and cost savings to the State. In her documentation, Medina quantified state budget cuts to higher education by detailing funding reductions that “forced academic libraries in Alabama to cut more than 5,600 individual journal titles.”<sup>475</sup> She had argued earlier for increased funding for NAAL for fiscal year 1996-1997 to support access to Expanded Academic Index, a rich research resource that provided full-text articles for nearly 600 of 1,500 journal titles indexed and abstracted. James’s proposed cutbacks to state higher education monies of 7.5 percent for 1995-1996 were successful, but the Legislature did not approve cuts to the 1996-1997 budget.<sup>476</sup>

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<sup>474</sup> Medina to James, March 15, 1996.

<sup>475</sup> Sue O. Medina, “Alabama Commission on Higher Education,” Presentation, March 15, 1996. Stephens files.

<sup>476</sup> Richard Powell, “Chancellor: State Must Look Beyond Budget,” *Tuscaloosa News* (August 16, 1996), [http://news.google.com/newspapers?nid=1817&dat=19960815&id=cCEeAAAAIIBAJ&sjid=\\_acEAAAAIIBAJ&pg=6965,2767257](http://news.google.com/newspapers?nid=1817&dat=19960815&id=cCEeAAAAIIBAJ&sjid=_acEAAAAIIBAJ&pg=6965,2767257) (accessed September 25, 2012).

## 1996 Planning Retreat

In keeping with the growing emphasis on electronic resources on college campuses, the group attending the NAAL planning retreat in April 1996 included library directors of all Online Computer Library Center (OCLC) member libraries in NAAL member institutions. Ameritech Library Systems and Sirsi Corporation vendor representatives were also included to discuss library automation environments. NAAL conversation topics included farsighted considerations of merging technology and operations. The memorandum from Medina to registered participants for the planning retreat received encouragement to stretch their imaginations with regard to the strategic plan for 1996-97: "New ideas are especially encouraged!"

Highfill chaired the NAAL Subcommittee on Shared Databases. The first goal for this group encapsulated the spirit of NAAL: "The cooperative spirit that has resulted in successful NAAL programs to date must be preserved."<sup>477</sup> The committee supported NAAL by serving to negotiate licenses for shared databases regardless of funding sources and noted that consideration should be given to written agreements between NAAL and member institutions prior to consortium pricing negotiations. Standardization of procedures also appeared as a deliberation. Likewise, the committee recommended that NAAL investigate "the feasibility of developing an electronic database center rather than relying on various institutions to host databases."

Like the Subcommittee on Shared Databases, the Cooperative Collection Development for Serials Subcommittee stressed planning together for the benefit of Alabama, "to insure that needed information is available to Alabama's students, faculty, and other researchers." This subcommittee focused on communication among member institutions regarding cancelled serial subscriptions. In

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<sup>477</sup> Meeting minutes, Network of Alabama Academic Libraries, Subcommittee on Shared Databases, February 23, 1996. Stephens papers.

this regard, Highfill offered a visual representation of budget reductions impacting the Auburn University library:

We had some budget cuts, and we had to cancel lots of subscriptions. And the chairman of the library committee was from History, and he took stood on the front steps of the library and—a little bit of photography here—strung a list of titles being cancelled out almost forever. He loved that picture. That got us lots and lots of support... Don standing on the steps of the library and the list running down the sidewalk to the administration building.<sup>478</sup>

Reduced library funding and increased subscription pricing effected serials subscription distress in the 1990s. Highfill's vivid illustration demonstrated the response of researchers when subscriptions are curtailed and reduced. Before consortial purchasing offered libraries traction in negotiating costs, "serials prices increased 10.8 percent in 1995, 9.9 percent in 1996 and 10.3 percent in 1997, eventually reaching 10.4 percent in 1998."<sup>479</sup>

In May 1996, Sue Medina notified library directors at NAAL member OCLC libraries that ACHE's four-hundred-thousand-dollar appropriation for 1996-1997 included a stipulation: "It is the intent of the Legislature that the Alabama Commission on Higher Education shall provide for the participation of Athens State College in the Network of Alabama Academic Libraries."<sup>480</sup> A two-year institution offering junior- and senior-level courses, then Athens State College served "graduates of state junior, community, and technical colleges and institutions."<sup>481</sup> The primary study presented and published by the ACHE Council of Librarians in 1982 included data on Athens State College but

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<sup>478</sup> Highfill interview.

<sup>479</sup> Stephen Bosch, Kittie Henderson, and Heather Klusendorf, "Periodicals Price Survey 2011: Under Pressure, Times Are Changing," *Library Journal* 136, no. 8 (May 2011): [n.p.], <http://search.ebscohost.com/login.aspx?direct=true&db=tfh&AN=60497837&site=ehost-live> (accessed October 3, 2012).

<sup>480</sup> Sue Medina, memorandum to Library Directors, OCLC Libraries in NAAL, May 23, 1996. Stephens papers.

<sup>481</sup> "History of Institution," <http://www.athens.edu/about/history.php> (accessed October 4, 2012).

acknowledged an absence of graduate education programs at the institution.<sup>482</sup> As such, the institution did not qualify for general membership in the network.

ACHE chair Fred Lee's participation in a state education conference in November 1995 and provided possible substantiation for such a directive. While the conference placed emphasis on "working together," Lee stressed an innovative collaborative effort between the Alabama State Board of Education, which supervises K-12 public schools and community and technical schools, and the Department of Postsecondary Education, which oversees "community, junior, and technical colleges, and Athens State University."<sup>483</sup> He described the initiative as "a seamless system of education for the first time," and, along with the governor, emphasized accountability in education.<sup>484</sup> These concerns, while supportive, fell outside the missions of ACHE (oversight for higher education) and NAAL (provision for resource sharing among institutions offering graduate study).

The 1995-1996 NAAL Advisory Council meeting minutes reflected the complementary roles of the Legislature and NAAL from Stephens's perspective:

[He] spoke of a new era of changing relationships among the sector concerned with higher education and the need to initiate a new effort to influence government support for NAAL. He noted that NAAL representatives need to use the expertise they have developed to innovate in offering statewide information services. This will require NAAL to examine its membership, how library resources are shared, and how library services will be funded.<sup>485</sup>

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<sup>482</sup> Alabama Commission on Higher Education, Council of Librarians, *Cooperative Library Resource Sharing*, 18.

<sup>483</sup> Alabama Community College System, "Alabama Center for Postsecondary Education," <http://www.accs.cc>. (accessed April 1, 2013).

<sup>484</sup> Dana Beyerle, "Capital Notes," *Gadsden Times* (November 5, 1995). <http://news.google.com/newspapers?nid=1891&dat=19951105&id=KLwfAAAAIbAJ&sjid=FNgEAAAAIbAJ&pg=6943,425082> (accessed April 1, 2013).

<sup>485</sup> Meeting minutes, Network of Alabama Academic Libraries, 1995-1996 Executive Council, August 28, 1996. Stephens papers.



By August 23, Stephens corresponded with the Council of Presidents, those credited with creating NAAL, to request their input with regard to the issues of reduced funding and membership status for Athens State College. He pointed out that the request from the Legislature did not include additional funding for support. He reiterated the mission of NAAL as providing shared library resources in support of graduate education and research and emphasized that “members of the Advisory Council believe an effective coalition to plan a virtual statewide library must move forward.”<sup>486</sup>

Stephens’s letter stated that the Advisory Council of NAAL voiced preference for supporting a statewide online library rather than responding to a singular institution and underscored the need for increased state funding “to ensure every student equitable access” to information.<sup>487</sup> He expressed willingness to expand the mission of NAAL by revising bylaws, membership classification, and certification as a tax-exempt organization as directed by the Council of Presidents and acted upon by the Advisory Council. In fact, Athens State was admitted to NAAL in 1996, and official creation of the AVL occurred in 2000 with appropriation of \$3 million as a line item in the Alabama Public Library System (APLS) budget.

The Executive Council meeting minutes of August 28, 1996, reiterated an emphasis on NAAL’s agency among state legislators. Such concerns indicated an awareness of potential complacency for the network, a characteristic of the fourth phase in a corporate life cycle. Further, in the Executive Council chair’s report, Stephens “spoke of a new era of changing relationships among the sectors concerned with higher education and the need to initiate a new effort to influence

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<sup>486</sup> Jerry Stephens to Frank A. Franz, August 23, 1996. Stephens papers.

<sup>487</sup> Ibid.

government to support NAAL.”<sup>488</sup> Sustaining momentum within the NAAL would ensure stability in managing transitions and changes.

On October 1, 1996, Hector, “froze FY96-97 NAAL expenditures except salaries until Athens State College...[was] invited to become a cooperative or general (its choice) member of NAAL.”<sup>489</sup> As pointed out by seasoned NAAL board members, a change to NAAL bylaws and issuance of an invitation would be required for Athens State to join NAAL. However, Bennett reminded the NAAL membership that “state law supersedes the Network’s own organizational documents.”<sup>490</sup> On November 7, 1996, NAAL “voted to accept Athens State College as a general or cooperative member depending on their choice to comply with the legislative intent expressed in the language of the FY 1996-1997 Special Education Trust Fund Appropriations Act” and “[l]earned that the [NAAL] Planning Committee has been charged with recommending revisions in NAAL’s organizational documents to comply with the legislative intent expressed in the language of the FY1996-1997 Special Education Trust Fund Appropriations Act.”<sup>491</sup> Looking back on this event, Stephens offered the following evaluation:

When we accepted what was Athens College at the time...Athens became the only...NAAL member that did not have a graduate program. And then we decided that there are other outliers that we need to deal with, and we wanted to make sure we had a relationship with the libraries...so we looked at those major public libraries. And we also wanted to have a relationship with the private institutions that were outside of the graduate education realm, and so we looked at those as well. That moved us forward until we were beginning to talk about the creation of the AVL.<sup>492</sup>

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<sup>488</sup> Network of Alabama Academic Libraries, 1995-1996 Executive Council, August 28, 1996.

<sup>489</sup> Sue Medina, memorandum to NAAL Representatives, October 28, 1996. Stephens papers.

<sup>490</sup> Ibid.

<sup>491</sup> Sue Medina, memorandum to NAAL Representatives, November 15, 1996. Stephens papers. Effective October 1, 1996, the name of the Alabama Special Education Trust Fund was changed to Education Trust Fund. Alabama Code, Title 16, Chapter 13.

<sup>492</sup> Stephens interview.

To promote clarity in this issue, Bennett recommended a specific sequence for the Annual Meeting to be held November 7, including a recounting of “why action is required to amend the bylaws and invite Athens State College to join NAAL” and a review and explanation of recommended changes to the bylaws.

Here, Athens State College is described as “a state-supported institution offering only baccalaureate degrees” that gained membership to NAAL. The network’s organizational structure had to accommodate these variations.<sup>493</sup> Additionally, language in the “New Business” section of the minutes from the 1996-1997 meeting of the NAAL Advisory Council included mention of Hector and mandated inclusion of Athens State College as a general or cooperative member:

Dr. Stephens wrote to Dr. Frank Franz, chairman of the Council of Presidents, seeking his guidance for NAAL to respond to the legislative intent expressed in the FY1996-1997 Special Education Trust Fund Appropriation Act that Athens State College participate in NAAL. At the beginning of the fiscal year, Dr. Hector prohibited any NAAL FY1996-1997 expenditures, except salaries, until Athens State College is admitted to membership. Dr. Franz and Dr. Hector have discussed this issue and agreed that Athens State College should be accepted as a general or cooperative member, at their choice. The ACHE attorney advised Dr. Hector that NAAL can vote to accept Athens State to membership because the legislator intent expressed in the SETF Appropriations Act supersedes the organizational agreement and bylaws. The bylaws can then be amended to conform to the Act. NAAL can act and then advise the Council of Presidents that it has accepted Athens State College to membership. The Executive Council discussed these alternative approaches at length, and agreed to accept the advice of ACHE.<sup>494</sup>

Around the time of this issue, Hector held participatory membership in the Members of the Student Outcomes from a Policy Working Group, an outgrowth of the National Postsecondary Educational Cooperative.<sup>495</sup> The policy working group focused on the value

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<sup>493</sup> “Organizational Structure Background Paper,” [1997 Planning Retreat Documents, p. 32]. Stephens papers.

<sup>494</sup> Sue O. Medina, memorandum to NAAL Representatives, General and Cooperative Members, October 21, 1997. Stephens papers.

<sup>495</sup> U.S. Department of Education, National Center for Education Statistics, *Student Outcomes Information for Policy-Making*, NCES 97-991, prepared by Patrick Terenzini for the Council of the National Postsecondary Education Cooperative Working Group on Student Outcomes from a Policy Perspective (Washington, D.C., 1997), <http://nces.ed.gov/pubs97/97991.pdf> (accessed April 25, 2012).

of higher education, student outcome assessments, and educational opportunity improvement. Rapid changes in technology accelerated concerns about providing access and best practices. This, too, could have strengthened advocacy for Athens State and NAAL membership.

### NAAL Environmental Scan

Environmental scanning refers to examination of issues and trends in a corporate environment. Sustainability requires that organizations collect and process information to construct meaning, create knowledge, and make decisions.<sup>496</sup> Environmental scanning is “performed to mitigate “strategic uncertainty.”<sup>497</sup> Determining forces of change can lead to “improved organizational learning and performance” as well as measured strategic planning.<sup>498</sup> In July 1997 the NAAL Executive Council met to discuss how to “guide the organization through the process of re-inventing NAAL’s future” following conversation at the earlier Planning Retreat.<sup>499</sup> Topics included “structure, leadership, membership, funding, and lines of reporting” and “serious times.”<sup>500</sup> To demonstrate emphases, the following excerpt from the NAAL 1996-1997 Annual Plan shows a list of considerations and related markups:

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<sup>496</sup> See Francis J. Aguilar, *Scanning the Business Environment* (New York, NY: Macmillan, 1967) and Chun Wei Choo and Ethel Auster, "Environmental Scanning: Acquisition and Use of Information by Managers" in *Annual Review of Information Science and Technology* 28, ed. M. E. Williams (Medford, NJ: Learned Information, 1993), 279-314.

<sup>497</sup> Detelin S. Elenkov, “Strategic Uncertainty and Environmental Scanning: The Case for Institutional Influences on Scanning Behavior,” *Strategic Management Journal* 18, no. 4 (April 1997): 288.

<sup>498</sup> Chun Wei Choo, “Environmental Scanning as Information Seeking and Organizational Learning,” *Information Research* 7, no. 1 (October 2001), <http://InformationR.net/ir/7-1/paper112.html> (accessed March 19, 2012).

<sup>499</sup> “Network of Alabama Academic Libraries, 1996-1997 Annual Plan.” Stephens papers.

<sup>500</sup> *Ibid.*

NAAL Environmental Scan  
A Discussion Item from the Executive Council  
July 1997

As follow up to the discussion we had at the Planning Retreat, the Executive Council met to consider how it might guide the organization through the process of re-inventing NAAL's future. This is the first in a series of items which the Executive Council will place before the Planning Committee for discussion and feedback.

The Executive Council agreed that all issues relative to the NAAL organization, including structure, leadership, membership, funding, and lines of reporting, should be open for discussion. We agreed to pay close attention to the environment in which NAAL exists. Opinions differed on whether the environment could best be described as "unsupportive," "bleak," or all the way to "hostile." Council members agreed, however, that these are serious times.

We began with an environmental scan, or an assessment of current realities, in the belief that future discussions would be more productive if rooted in common understandings. The eight statements below speak to the issues we believe to be of critical importance. Please come prepared to discuss these issues at the next Planning Committee meeting.

*Continuous cycle of growth*

- 1) NAAL's member institutions are <sup>strong</sup> ~~better~~ for having participated in NAAL's cooperative programs.
- 2) There is a demonstrated cooperative spirit among the NAAL membership.
- 3) There is weak and declining support for NAAL from the Council of Presidents.
- 4) There is weak and declining support from ACHE.
- 4a) There is weak and declining support from the Legislature. <sup>for acche</sup>
- 6) NAAL's program emphasis is <sup>evolving</sup> shifting to take advantage of sharing electronic resources. <sup>for all Alabama students.</sup>
- 7) A seemingly disproportionate amount of the NAAL budget is spent on administrative costs versus program needs.
- 8) NAAL is changing from an organization concerned primarily with internal constituencies and issues to one that deals increasingly and on several fronts with external constituencies and issues.

Following the Planning Committee meeting, the Executive Council will draft a preliminary Vision Statement for NAAL, taking into account the realities identified in the environmental scan. The Vision Statement will then be sent to the Planning Committee for discussion. It is our collective belief that these steps are necessary before work can begin on concrete strategies to ensure NAAL's future.

*underlying  
assumption  
- how do we perceive*

Figure 1: NAAL Environmental Scan: A Discussion Item from the Executive Council, July 1997.

Handwritten notations included “Continuous cycle of growth” and “Underlying assumption—how do we preserve.” NAAL’s maturation process during this fourth phase included considerations of endurance and prosperity. Perspectives presented indicated that the State Legislature demonstrated waning support for ACHE and, resultantly, NAAL. The Executive Committee committed to drafting a preliminary vision statement to incorporate fundamentals pinpointed in the environmental scan. From there and in accordance with the process, the Executive Council planned to develop “concrete strategies to ensure NAAL’s future.”<sup>501</sup> Survival is a focus in phase four of the corporate life cycle. The NAAL narrative of challenges encountered during the last decade of the twentieth century demonstrated and validated this assertion.

### **Alabama Virtual Library**

At the NAAL planning retreat in late April 1997, the Planning Committee received a copy of an “Organizational Structure Background Paper” as part of the planning retreat documents. With reminders reaching back to the 1983 document *Cooperative Library Resource Sharing among Universities Supporting Graduate Study in Alabama*, the background paper declared that “progress has been made toward ameliorating deficiencies identified in the initial assessment.”<sup>502</sup> Technological strides since NAAL’s development allowed for possible “additional solutions for Alabama’s educational institutions to overcome continuing deficiencies in information resources needed for instruction and research.”<sup>503</sup> Such language hinted at the aforementioned expanded access to materials and a statewide virtual library. Thirteen years since the formation of NAAL, as life cycle structuring predicted, the development of the network allowed reconciliation with “societal and technological

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<sup>501</sup> “Network of Alabama Academic Libraries, 1996-1997 Annual Plan.”

<sup>502</sup> 1997 Planning Retreat Documents, April 27, 1997. Stephens papers.

<sup>503</sup> Ibid.

changes since 1984.”<sup>504</sup> Funding challenges lingered as collaborations strengthened. However, technological advances afforded access to information for students and researchers without regard to geographical location of the user.

As political influence coerced the Alabama education system, including K-12 schools, two-year colleges, and four-year institutions, NAAL considered an additional opportunity to assume a leadership role. The network’s architecture housed symbiotic relationships among the Department of Post-Secondary Education and two-year colleges, the State Department of Education and K-12 school systems, education institutions outside NAAL or other public education sectors, and public libraries. Funding, an ongoing concern, mandated deliberation of potential underpinnings, such as “state appropriations, membership assessments for specific projects, services for a fee (contractual), foundation or other private funding.”<sup>505</sup>

A 1997 “Organizational Structure Background Paper” announced a dramatic metamorphosis for NAAL to its membership at the annual planning retreat. With impetus to enhance “the knowledge base of the state,” NAAL altered its “primary program focus” from “coordinating sharing of library resources supporting graduate education and research” to the “development of a statewide virtual library to provide all students in Alabama with convenience access to a common core of appropriate basic information resources needed for their education.”<sup>506</sup> NAAL determined that information technology would expand opportunities for equitable access and mitigate isolation. Medina explained the preliminary steps leading up to implementation of the AVL:

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<sup>504</sup> 1997 Planning Retreat Documents, April 27, 1997. Stephens papers.

<sup>505</sup> Ibid.

<sup>506</sup> Ibid.

The genesis...is a grant NAAL had. NOTIS created software that you could initially locally load databases on and serve them up through your NOTIS library. And Dr. Stephens talked to Jane Burke, who was the CEO of NOTIS, and said, “You know, it’s foolish for me to buy all the hardware and the software and license these databases to serve up to UAB when we can run a data line—this was before the Internet—and share this database with other libraries.”<sup>507</sup>

Stephens also included mention of the significance of NOTIS software at the University of Alabama at Birmingham many years before the Internet became a reality: “[W]hen you talk about the economics of purchasing, we began with a pilot project, and the product at the time was NOTIS’s InfoShare, which was a service-based product that allowed us to mount databases locally and then share those databases.”<sup>508</sup> NAAL increasingly positioned itself in a broader role of education advocacy to promote equitable access to information. The emphasis on programs to benefit the collective populace—not individual libraries and organizations—led to far-reaching collaboration and the development of a virtual library in Alabama.

In November 1996 the effort was well underway to introduce legislators in Montgomery to the concept of a statewide virtual library through a hands-on demonstration. NAAL framed promotional materials for direct appeal to legislators and, accordingly, slated weekly demonstrations at the Statehouse during legislative sessions, through NAAL member institution meetings with legislators from service areas, and via PowerPoint slide presentations in locations where Internet access did not exist. A prototype of the virtual library emerged from Auburn University Library with

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<sup>507</sup> Medina interview.

<sup>508</sup> Stephens interview.



demonstration databases provided by Information Access Company, Encyclopedia Britannica, and Congressional Information Services.<sup>509</sup>

In the midst of this paradigm shift, NAAL focused on assuming an appropriate leadership role. Minutes from the November 4, 1997, Advisory Council meeting reflected a clear perspective: “As an organization, NAAL is too limited to serve as a vehicle for a major program the scope of a statewide virtual library.”<sup>510</sup> Lee Van Ordsdel, director of libraries at the University of Montevallo, reviewed the significance of a vision statement as “an internal working document prepared by the Executive Council to communicate its work to the Advisory Council.”<sup>511</sup> She emphasized that the Advisory Council served to offer guidance to the Executive Council, and, after concentrated discussion, the Advisory Council accepted the vision statement as written and enjoined the Executive Council to support the expressed purpose.

In 1998 several business and industrial development boards formed the Alabama Coalition for Tomorrow (ACT) to link business and school groups to emphasize long-term economic growth through quality education programs. At 35 meetings held statewide, this organization solicited community input regarding “what lawmakers can do to help communities prepare for future growth and opportunity, to help them prepare for the 21<sup>st</sup> century.”<sup>512</sup> By late summer 1998 Medina had urged members of the NAAL Advisory Council to attend these local meetings to emphasize the

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<sup>509</sup> Sue O. Medina, memorandum to NAAL Representatives, General and Cooperative Members, October 21, 1997. Stephens papers.

<sup>510</sup> Draft, Meeting minutes, Network of Alabama Academic Libraries, 1996-1997 Advisory Council, November 4, 1997. Stephens papers.

<sup>511</sup> Ibid.

<sup>512</sup> “A Time to Speak Out: The Alabama Coalition for Tomorrow Meets Tuesday,” *Gadsden Times* (December 7, 1998), [http://news.google.com/newspapers?nid=1891&dat=19981207&id=2jdHAAAIAAJ&sjid=v\\_0MAAAAIAAJ&pg=1793,693713](http://news.google.com/newspapers?nid=1891&dat=19981207&id=2jdHAAAIAAJ&sjid=v_0MAAAAIAAJ&pg=1793,693713) (accessed May 1, 2012). Member organizations included the Alabama Retail Association, the Business Council of Alabama, the Economic Development Association of Alabama, the Economic Development Partnership of Alabama, the South Regions Minority Business Development Council, and the National Federation of Independent Business.

significant role of information technology, specifically the AVL, in Alabama's economic development.<sup>513</sup> This grassroots campaign produced visible results:

The AVL concept stood out at the town hall meetings as a positive change for Alabama. It was a program that offered a relatively low start-up cost and immediate statewide impact, and it had a core group of people willing to follow through on implementation. As a result, the AVL became one of the top priorities in ACT's legislative platform. With some of the state's best professional lobbyists promoting the ACT agenda, the AVL had an entree into the political arena.<sup>514</sup>

Three overriding themes grounded the discussions: education, transportation, and economic development.<sup>515</sup> Local and state legislators attended but did not offer distractions through formal announcements. Public appeal supported the AVL, and the momentum for this productive life cycle phase grew.

In December 1998, the newly formed NAAL Digitizing Content Task Force presented a report. University librarian for Auburn University and NAAL chair Stella Bentley explained:

An important mission of universities [is] to make their resources accessible for research by a larger audience. In addition, many of the unique resources collected by special collections are deteriorating and need preservation. Digitizing materials and providing access through the World Wide Web can help libraries meet their service goal and preservation needs...the Task Force should consider the role that NAAL should take in making library resources available through digitizing projects. If the Task Force recommends that NAAL have a role, then it should review possible digitizing projects, develop priorities, and recommend how to proceed.<sup>516</sup>

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<sup>513</sup> Meeting minutes, Network of Alabama Academic Libraries, 1997-1998 Advisory Council, October 30, 1998. Stephens papers. NAAL's mission, as stated in the bylaws, is coordinating "the collective resources of academic libraries to enhance graduate education and research."

<sup>514</sup> Morgan, 50.

<sup>515</sup> Andy Powell, "Group Seeks Input on Future of Alabama," *Gadsden Times* (December 5, 1998).

<sup>516</sup> Meeting minutes, Network of Alabama Academic Libraries, Digitizing Content Task Force, November 13, 1998. Stephens papers.

Considerations for a statewide program of digitization included cooperation, copyright and ownership, technology, standards, collections, access and demand, access and preservation, and policy development.<sup>517</sup>

*An Electronic Gateway to Information: Networking for the Nineties*, described as “NAAL policy and document,” served as a blueprint for the final decade of the twentieth century. A subsequent time frame was projected at five years, perhaps an indication of the rapid pace of change in an environment of technology.<sup>518</sup> NAAL’s adaptability indicated emphasis on function over form; flexibility beyond the founding concepts allowed growth and expansion. Technology advances also encouraged the Electronic Gateway Document Revision Task Force “to develop an entirely new vision statement and plan.”<sup>519</sup> Elements delineated for inclusion in the new plan encompassed the AVL, shared databases in NAAL outside the AVL, patron-initiated interlibrary loans, digitization of materials in NAAL member collections, database selection and licensing, and SOLINET’s role. By January 1999, members of the NAAL Alabama Virtual Library Steering Committee focused unflinchingly on public relations materials and political surroundings. Action items included the following<sup>520</sup>:

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<sup>517</sup> Meeting minutes, Network of Alabama Academic Libraries, Digitizing Content Task Force, November 13, 1998. Stephens papers.

<sup>518</sup> Meeting minutes, Network of Alabama Academic Libraries, 1998-1999 Electronic Gateway Document Revision Task Force, November 10, 1998. Stephens papers.

<sup>519</sup> Ibid.

<sup>520</sup> Meeting minutes, Network of Alabama Academic Libraries, Alabama Virtual Library Steering Committee, January 13, 1999. Stephens papers.

Reception sponsored by the Jefferson County Democratic Committee at the Birmingham Public Library for Alabama Speaker of the House Seth Hammett—At this event, Renee Blaylock, assistant director of Birmingham Public Library, solicited Hammett’s support for the AVL and gave him a flyer.<sup>521</sup>

Meeting between University of Montevallo President Robert McCheney and Lee Van Orsdel—During this discussion about support for AVL funding from university presidents, McCheney maintained that the presidents had not actively cultivated funding and agreed that he would serve as spokesperson for the AVL among his peers at their ensuing meeting.

Presentation to support the AVL on the proposed legislative platform before the State Board of Education—Don Kelly, Alabama Division of Information Services, Chancellor’s Office, served as spokesperson during the State Board working session.

Adoption of the AVL by the Alabama Library Association Legislative Development Committee as first priority—Scott Plutchak, University of Alabama at Birmingham Lister Hill library director, facilitated this coup.

Revision of a general press release and a shorter, customizable version for local libraries—Bettye Forbus, director of the Houston-Love Memorial Library in Dothan, presented draft copies to the Committee for review.

By February, tangible evidence of progress surfaced. Thirty thousand brochures trumpeting AVL advantages were slated for delivery to NAAL member constituents, all State legislators, and State Board of Education members. Van Orsdel stressed the significance of personal communications in this far-reaching campaign.<sup>522</sup>

For the AVL, “all of these things came into play...a critical mass of people who could help support the concept...a critical mass of technology that could support the concept...[and] a critical mass of content that could support the concept of a shared library.”<sup>523</sup>

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<sup>521</sup> In October 1999, when Alabama Speaker of the House Seth Hammett spoke at a Business Council of Alabama reception, he included the Alabama Virtual Library as the second accomplishment of the 1999 Alabama Legislature. Accordingly to Stella Bentley, NAAL Advisory Council chair, three additional speakers at this same reception “mentioned the Council’s support of the AVL among the Council’s notable accomplishments.” Meeting minutes, Network of Alabama Academic Libraries, Advisory Council, October 5, 1999. Stephens papers.

<sup>522</sup> Meeting minutes, Network of Alabama Academic Libraries, Alabama Virtual Library Steering Committee, February 4, 1999. Stephens papers.

<sup>523</sup> Stephens interview.

## Summary

A draft version of “The Current Status of the Academic Library Information Environment” explored increasing concerns regarding print domains and digital culture in academic library holdings. In 1999 at the time of this report from the NAAL Role of the Academic Library in Higher Education Task Force, the limited availability of electronic resources mandated that “higher education continue to provide support for both paper and electronic resources for libraries now and in the near future.”<sup>524</sup> The conclusion to the document described libraries as destinations accommodating research needs, regardless of resources provided. Advances in technology directly impacted NAAL’s functions as a new century dawned. The fourth phase in the network’s life cycle saw matured leadership embracing opportunities to push information resources into arenas using alternative delivery systems.

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<sup>524</sup> Draft, “The Current Status of the Academic Library Information Environment,” Report from The Role of the Academic Library in Higher Education Task Force, Planning Retreat, April 9-11, 2000. Stephens papers.

## CHAPTER SEVEN

### ENSURING VIABILITY, 2001-2009

“The revival phase is in many ways the most exciting.”

--Danny Miller and Peter H Friesen,

“A Longitudinal Study of the Corporate  
Life Cycle,” *Management Science* 30, no. 10  
(October 1984)

#### Characteristics

At phase five, a nonprofit organization reaches back to its original vision to encourage a reawakening. One question focuses the effort: “What do we need to redesign?”<sup>525</sup> While change can challenge nonprofit organizations, additional or alternative efforts can represent potentially plausible advancement. The organic context in which an organization grows and changes can effect decline or reinvigoration.<sup>526</sup> Rejuvenation of the Network of Alabama Academic Libraries (NAAL) included galvanizing the Alabama Virtual Library (AVL), creating the Cornerstone Project and AlabamaMosaic, introducing the Alabama Digital Preservation Network (ADPNet), and germinating the “Lots of Copies Keep Stuff Safe” LOCKSS Program. Within life cycles, developmental processes and varying circumstances merge to encourage corporate evolution. Similar to the second stage, the fifth life cycle stage traditionally bridges two to five years; however, NAAL’s prolonged renewal phase reached to the network’s twenty-fifth anniversary.

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<sup>525</sup> Simon, 32.

<sup>526</sup> Ibid., 33-34.

## **Expanding NAAL**

The NAAL narrative moved forward and amplified service to residents of Alabama in the early years of the twenty-first century. William Highfill commented that “NAAL tends to not only to do the things that it needed to do at its beginning but it has kept up with the development of librarianship.”<sup>527</sup> As early as 1989-1990, NAAL looked to publicize and integrate efforts to safeguard state treasures beginning with a statewide art inventory emphasizing Works Project Administration (WPA) creations and a broader Preservation Program Plan covering conservation, preservation, and restoration as well as emergency management of unique materials. When public access to the Internet became available broadly in the early 1990s, NAAL formalized a plan for connecting library systems via electronic access to information databases to benefit a statewide population extending outside institutions of higher learning.<sup>528</sup> Funding for the Alabama Virtual Library (AVL), \$3 million, became a reality in FY2000 following the 1999 legislative session.

## **Alabama Virtual Library**

Both Sue Medina, NAAL executive director, and Jerry Stephens, director of the Melvyn Sterne Library at the University of Alabama at Birmingham, emphasized the three cornerstones of NAAL and, similarly, of AVL: equity, excellence, and economy.<sup>529</sup> What Medina labeled “a miracle” developed when a wide range of educational representatives, those who competed for the same public dollars, collaborated “with a common vision to improve library and information services for

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<sup>527</sup> Highfill interview.

<sup>528</sup> Sue Medina, “An Electronic Gateway to Information: A Virtual Library for the Millennium,” June 16, 1999. Stephens papers.

<sup>529</sup> Sue O. Medina, “A Miracle for the Millennium: How the Alabama Virtual Library Governance Succeeds,” *Alabama Librarian* 55, no. 2 (2005): 12. Stephens commented, “And we all tried to articulate a common message, and it was the three Es.” Stephens interview.

all Alabamians.”<sup>530</sup> Stephens described the steering committee for AVL using similar language: “[U]nder NAAL’s leadership we orchestrated a committee that would explore the possibilities of ... a virtual library... And that committee consisted of people, consisted of school teachers, consisted of people from the community college, higher education, from the Supercomputer Authority, and from the public libraries.”<sup>531</sup> The Alabama Public Library Service (APLS) became the fiscal agent for AVL, and the governance structure allowed for representatives from all AVL constituents. NAAL acted as administrative agent for the AVL, which included establishing structure and training.

Medina announced that access to online databases became available when the school year began in August 1999, two months before the FY2000 commenced on October 1, 1999. At the October 5 meeting of the NAAL Executive Council, Medina reported that she was spending “a large part of her time supporting” the AVL.<sup>532</sup>

Disseminating information about the new virtual library to potential users proved to be challenging. To promote awareness, “the AVL Council approved development of radio announcements and new promotional brochures” to appeal to the general public; further, “the Council has discovered that it is difficult to reach classroom teachers with AVL materials, and is considering how best to promote use of the AVL in the classroom.”<sup>533</sup> In these preliminary outreach efforts, Medina noted that early adopter public libraries faced challenges, too. They offered dial-up service to the Internet but could not yet offer remote access to the citizens of Alabama.

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<sup>530</sup> Medina, “A Miracle for the Millennium,” 12.

<sup>531</sup> Stephens interview. For a detailed explanation of AVL Council membership selection, see Medina, “A Miracle for the Millennium.”

<sup>532</sup> Meeting minutes, Network of Alabama Academic Libraries, 1999-2000 Executive Council, October 5, 1999. Stephens papers. Seth Hammett, Alabama Speaker of the House, listed the AVL second in a list of 1999 accomplishments of the Legislature. Meeting minutes NAAL Advisory Council, October 6, 1999. Stephens papers.

<sup>533</sup> Meeting minutes, Network of Alabama Academic Libraries, Advisory Council, October 6, 1999. Stephens papers.



Promoting the AVL led NAAL to develop the Affiliate Institutions Program for Alabama's four-year colleges not eligible for NAAL membership [see Appendix F]. This level provided access to statewide information technologies to undergraduate-only colleges not affiliated with OCLC.<sup>534</sup> Medina wrote, "Beginning in FY2000-2001, NAAL will develop an 'Affiliate Institutions Program' to afford these colleges the statewide benefits of library cooperation."<sup>535</sup> Over the years with technology advances, NAAL expanded its focus from institutions of higher learning offering graduate programs to include undergraduate education and research.

Participation in NAAL by affiliated institutions allowed discounted subscriptions to online databases, and, as Charles Osburn, dean of university libraries at The University of Alabama, explained, NAAL bylaws required no changes because affiliates were not deemed members of the network.<sup>536</sup> Oversight for the Affiliate Institutions Program remained with the NAAL Advisory Council as governing body for NAAL. Following information meetings with library directors at institutions eligible to participate in the Affiliate Institutions Program, Stephens reported that "the response has been enthusiastic."<sup>537</sup> The NAAL Executive Council determined that integrated access to AVL resources for affiliate members would be regulated by the Alabama Virtual Library Council and the Alabama Public Library Service (APLS), fiscal manager for the AVL.<sup>538</sup>

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<sup>534</sup> Sue O. Medina to Henry Ponders, President, Talladega College, Nov. 26, 2001. Stephens papers. The list of eligible institutions included Concordia College in Salem, Huntingdon College in Montgomery, Judson College in Marion, Miles College in Birmingham, Oakwood College in Huntsville, Southern Christian University in Montgomery, Stillman College in Tuscaloosa, and Talladega College in Talladega.

<sup>535</sup> Sue O. Medina, memorandum to Members, Executive Council, August 1, 2000. Stephens papers.

<sup>536</sup> Meeting minutes, Network of Alabama Academic Libraries, 1999-2000 Executive Council, October 5, 1999. Stephens papers.

<sup>537</sup> Meeting minutes, Network of Alabama Academic Libraries, FY2000-2001 Executive Council, February 8, 2001. Stephens papers.

<sup>538</sup> Meeting minutes, Network of Alabama Academic Libraries, 1999-2000 Executive Council, October 5, 1999.

Partnership boundaries between NAAL and AVL stabilized as the virtual library gained support. When the State Department of Education “invited NAAL to coordinate the Alabama Virtual Library room at the Alabama Education Technology Conference and to offer three half-day workshops on using the databases...Medina accepted the offer with the understanding that the AVL Council will be the sponsor of these events.”<sup>539</sup> Volunteer assistants from all library types agreed to participate. Here again the consistent emphasis NAAL placed on collaboration strengthened the prominence of access to resources.

Unfortunately, ongoing funding challenges in the Alabama educational system brought about projected reductions to AVL expenditures by early 2001. State sales and income tax revenues fell short of expenses, and proration caused a reduction in the AVL budget from \$3,000,000 to \$2,800,000. The AVL Council learned that, without voluntary reduction of fees from database vendors, subscriptions would be threatened.<sup>540</sup> This was the first of many such occurrences for the expanded offering of databases statewide.

### **Cornerstone Project**

Implementation of the Cornerstone Project commenced in 2000. The NAAL Digitizing Content Task Force initiated the proposal describing “a statewide plan to digitize unique resources.”<sup>541</sup> Such an enterprising approach underscored “new patterns of innovation,” a significant characteristic in corporate life cycle.<sup>542</sup> As chair of the NAAL executive board, Stephens requested

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<sup>539</sup> Meeting minutes, Network of Alabama Academic Libraries, Executive Council Meeting, December 7, 2000. Stephens papers.

<sup>540</sup> Meeting minutes, Network of Alabama Academic Libraries, Executive Council Meeting, February 8, 2001. Stephens papers.

<sup>541</sup> Sue O. Medina, memorandum to invited participants [FY2000-2001 Digitizing Content Task Force], October 23, 2000. Stephens papers.

<sup>542</sup> Simon, 6.

that members of the Digitizing Content Task Force develop a plan. The Cornerstone Project did indeed provide new opportunities for NAAL beyond its original mission of amplifying library collections supporting graduate education, and yet the precise preliminary steps taken mirrored the original acumen demonstrated during the start-up days of NAAL.

Special collections presented particular access challenges, including financial worth, fragility, deterioration, and incomplete description.<sup>543</sup> With a two-year schedule and a request for nearly \$400,000, the underpinning of the Cornerstone Project included a collaborative management oversight task force, a survey of repositories for participation appropriateness and baseline data, leaders, a statewide training program, a long-range plan to effect wide access to unique digitized resources through the Alabama Virtual Library, and digitized materials and web pages from the Alabama Social Studies Course of Study and Alabama Moments linked to the Alabama Virtual Library.<sup>544</sup> The federal Institute of Museum and Library Services (IMLS) assisted institutions with preserving cultural artifacts through grant funds. NAAL's application to the IMLS National Leadership Grant program elaborated:

By project end, Alabama repositories holding primary sources will have attained the necessary organizational structure, technical expertise, and shared use of appropriate technology to expand access to the unique treasures in its special collections. Most important, the state will have completed a statewide plan and a coordinated funding strategy for ongoing support of digitization programs in Alabama.<sup>545</sup>

The Cornerstone Project supported NAAL's mission: "Like the AVL, it will stress collaboration to avoid duplication of effort, prevent the development of disparate digital systems, and encourage the exchange of information content across the broadest possible audience."<sup>546</sup>

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<sup>543</sup> Downer, Medina, Nicol, and Trehub, 234.

<sup>544</sup> Abstract, "Placing the Cornerstone for Sharing Library Treasures," October 23, 2000. Stephens papers.

<sup>545</sup> Ibid.

<sup>546</sup> Ibid.

On September 26, 2001, IMLS notified NAAL of the award of a two-year National Leadership grant for *The Cornerstone Project: Building the Foundation for Sharing Unique Treasures Online*.<sup>547</sup> In linking the Cornerstone Project to AVL, the grant application explained how the Cornerstone Project expanded to “build on the strong collaborative leadership representing the library, archival, and educational communities that forged the AVL.”<sup>548</sup> Medina agreed to be Cornerstone Project director, and, accordingly, ACHE was named fiscal agent.<sup>549</sup> The tragic events of September 11 impacted the project start date of October 1. At a meeting on October 16, the NAAL Digital Content Committee expressed concerns about travel restrictions and emphasized the critical role to be played by Peter Hirtle of Cornell University as emerging technologies consultant. The first Cornerstone Narrative Report in October 2001 reported that “within Alabama, all unessential travel was being discouraged...[and postponing] the first major meeting with Mr. Hirtle...would knowingly delay implementation of most project tasks by about three months.”<sup>550</sup> IMLS approved NAAL’s appeal for an extended deadline through September 2004, an addition of one year.

With a project initiation date of April 2002, Liz Bishoff, authority in areas of library-museum collaboration and digital preservation and former executive director of the Colorado Digitization Project, mentored the Cornerstone Project developers to facilitate understanding of “concepts, standards, practices, and technology that would support the digital collection.” Acting upon the

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<sup>547</sup> IMLS did not award the initial Cornerstone Project grant application. Meeting minutes, Network of Alabama Academic Libraries, Executive Council, December 7, 2000.

<sup>548</sup> Abstract, “The Cornerstone Project: Building the Foundation for Sharing Unique Treasures,” 2001 IMLS National Leadership Grants Application Form, August 6, 2001. Stephens papers.

<sup>549</sup> “The Cornerstone Project: Building the Foundation for Sharing Unique Treasures,” 2001 IMLS National Leadership Grants Application Form, August 6, 2001. Stephens papers.

<sup>550</sup> Network of Alabama Academic Libraries, “The Cornerstone Project: Building the Foundation for Sharing Unique Treasures in Alabama, Narrative Report for the Period 1 October 2001-March 30, 2002 [sic],” 3. Stephens papers. At a meeting of the NAAL Advisory Council on September 26, 2020, Medina “noted that activities were delayed by about six months due to events of September 11, 2001, and the loss of the consultant [Hirtle] who had initially agreed to assist.” In Meeting minutes, Network of Alabama Academic Libraries, Advisory Council, November 14, 2003. Stephens papers.

suggestion of IMLS evaluators, members of the NAAL Digital Content Committee requested and received funding from NAAL to engage Bishoff as a consultant during the start-up phase.<sup>551</sup>

Reliance of expert advice and inclusion of representatives from multiple Alabama digitization centers allowed NAAL to apply best practices for a visible statewide venture. Willingness to “fit in the changing world” represents fifth-phase life cycle evidence. Participants in the Cornerstone Project accepted challenges in digital library program development and moved forward. Institutional partners included the Alabama Department of Archives and History, Auburn University, and The University of Alabama.

### **AlabamaMosaic**

By 2003 “alabamamosaic.com” became the registered domain name for the central website of the Cornerstone Project.<sup>552</sup> The 2003 NAAL planning retreat focused on details for this public service program including emphasis on making resources housed institutions available statewide. The NAAL Digitizing Content Committee was tasked with assuring access to historical Alabama resources, those “collected materials that document the people and events that shape and influence Alabama.”<sup>553</sup> This approach framed the Cornerstone Project as inclusive and available. Schools and public libraries were encouraged to let students discover “images, diaries, letters, and other special artifacts that document their history” through AlabamaMosaic online.<sup>554</sup> NAAL specified potential targeted audiences: K-12 school children and teachers, advanced students and researchers of

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<sup>551</sup> Narrative report, Network of Alabama Academic Libraries, The Cornerstone Project, October 1, 2002 through March 30, 2002. Stephens papers.

<sup>552</sup> Meeting minutes, Network of Alabama Academic Libraries, Executive Council, November 13, 2003.

<sup>553</sup> Network of Alabama Academic Libraries, 2003 Planning Retreat, April 27-29, 2003. Stephens papers.

<sup>554</sup> Ibid.

Alabama history, interested citizens, and the economic development and legal communities.<sup>555</sup> These details echoed descriptions of the AVL.

Participating repositories were required to make materials available at no charge but did not have to hold non-profit status or be located within Alabama. Materials to be included for digitization could be “published books and journals, unpublished manuscripts such as diaries and letters artifacts such as mineral specimens, works of art and music, sound and video recordings, photographs, pamphlets, maps, [and] textiles” for which the repository can certify that it holds “appropriate intellectual property rights.”<sup>556</sup>

Medina provided recollections of several incidences in which individuals contacted her to discuss AlabamaMosaic, an online collection of Alabama’s “history, culture, places, and people.”<sup>557</sup> These stories illustrated how a publicly funded initiative touched lives and accentuated digital assets. She explained that she received a telephone call from a family member who accessed AlabamaMosaic and located a lost photograph of her great-grandfather online, significant because “nobody [else] in the family knew what he looked like.”<sup>558</sup> Medina also described receiving written communication from another user of AlabamaMosaic. In this instance, too, the individual discovered a photograph of a relative, one who had been a member of the 1914 Birmingham Barons baseball team. Medina related the details of this story:

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<sup>555</sup> Draft, “Network of Alabama Academic Libraries, The Cornerstone Project: Principles for Participation,” November 6, 2002. Stephens papers.

<sup>556</sup> Ibid.

<sup>557</sup> [www.alabamamosaic.org](http://www.alabamamosaic.org) (accessed September 8, 2012).

<sup>558</sup> Medina interview.

There is a picture in the opening images of the Birmingham Barons [at the AlabamaMosaic website]. A woman wrote me that one of the men was her grandfather and said that they [her family] had known about this picture. They knew it was in the Samford collection, but they were excited because now they all could have it.<sup>559</sup>

Public access to primary source documents promotes familiarity with records and encourages engaged and effective participants. In this fifth phase of advancement for NAAL, commitment to expanded services allowed for visibility. Serving constituents includes improving perceptions of an organization. Getting the word out across Alabama about AlabamaMosaic, as with the AVL, promoted consumption of sponsored benefits.

NAAL also emphasized another critical purpose of The Cornerstone Project for the K-12 educational community. In 1998, the Alabama State Department of Education removed the ninth-grade course requirement for one semester of Alabama history in public schools and added a replacement that emphasized “U.S. and world history and geography along with civic responsibility.”<sup>560</sup> Specifically, “to strengthen the American history curriculum the Board approved a two-year sequential chronological study of American history in the 10th and 11th grades, and mandated that the study of local history be integrated into that course.”<sup>561</sup> Leah Rawls, *emerita* director of the Auburn University Center for the Arts and Humanities, rebounded with conception of the *Alabama Moments* project to ensure that students would, as Edwin Bridges, director of the Alabama Department of Archives and History (ADAH), and Edward Richardson, Superintendent of the Alabama State Department of Education, expressed, “understand broad themes of American

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<sup>559</sup> Medina interview. For access to this photograph, see [http://collections.alabamamosaic.org/cdm4/item\\_viewer.php?CISOROOT=/samford1&CISOPTR=53](http://collections.alabamamosaic.org/cdm4/item_viewer.php?CISOROOT=/samford1&CISOPTR=53) (accessed April 15, 2013).

<sup>560</sup> Draft, “Network of Alabama Academic Libraries, The Cornerstone Project: Principles for Participation.”

<sup>561</sup> <http://www.archives.state.al.us/teacher/alamom.html> (accessed May 23, 2012). Give details of citation.

history...to understand their own state and community more fully.”<sup>562</sup> The Cornerstone Project supplemented Alabama history documentation produced by history scholars and distributed by the Alabama Department of Archives and History. This *Alabama Moments* project provided online access to these instructional materials intended to augment the new social studies course of study.<sup>563</sup>

**Alabama Digital Preservation Network (ADPNet)  
and the “Lots of Copies Keep Stuff Safe” (LOCKSS) Project**

The devastation wrought on the Gulf coast by Hurricanes Katrina and Rita in 2005 dramatically demonstrated the critical nature of digital preservation. Following the successful implementation of the Cornerstone Project and AlabamaMosaic, NAAL committed to “develop and sustain a distributed, low-cost model to manage, preserve, and store digital resources harvested from all types of Alabama repositories” with ADPNet and to “develop a LOCKSS-based long-term archival storage network to support the archival needs of repositories of different types and sizes.”<sup>564</sup> Preparation for loss or corruption of digital records does not have the visual or emotional appeal offered by AlabamaMosaic, and, in 2008, Bishoff observed that “organizations are not able or willing to make the same commitment to [preserving] their digital collections.”<sup>565</sup> As Medina reflected, “You can make the case for it, but, unless you have to have records restored and you can see the immediacy of it at the time, it’s hard to say, ‘I’m going to put money into saving this record

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<sup>562</sup> Edwin Bridges and Edward Richardson to Teachers, May 21, 1999. <http://www.alabamamoments.state.al.us/Letter.html> (accessed May 23, 2012).

<sup>563</sup> Draft, “Network of Alabama Academic Libraries, The Cornerstone Project: Principles for Participation.” For additional details on the *Alabama Moments* project, see <http://www.alabamamoments.state.al.us/Background.html> (accessed May 23, 2012).

<sup>564</sup> Network of Alabama Academic Libraries, Fiscal Year 2007 Plan. Stephens papers.

<sup>565</sup> Liz Bishoff, Executive Summary, Alabama Digital Preservation Network, IMLS National Leadership Grant, October 29, 2008. Stephens papers.



because it might be needed one day.”<sup>566</sup> Stephens concurred and offered, “I don’t know what’s going to happen there,” but he stressed the significance of NAAL as an umbrella “to pull these concepts and the energy that the people had together.”

Attitudes notwithstanding, NAAL leadership tackled digital preservation solutions to mitigate threats of “a digital dark age.”<sup>567</sup> In 2007, a second IMLS Leadership grant provided funds “for the long-term preservation of digital materials created by local libraries and other repositories” with a “secure, off-site, trusted archive for the growing number of locally created digital resources.”<sup>568</sup> As “web caches for specific journals,” LOCKSS servers “collect content as it is published and are never flushed... [cooperating] in a peer-to-peer network to detect and repair damaged or missing pages.”<sup>569</sup> These servers for the ADPNet are hosted by the Alabama Department of Archives and History as well as six academic libraries and the Birmingham and Huntsville-Madison County public libraries.<sup>570</sup> As a NAAL initiative, ADPNet offers a range of membership options to “universities, libraries, museums, historical societies, and agencies of state government, as well as consortia of organizations and individual projects.”<sup>571</sup>

LOCKSS traditionally archives commercial electronic journals. Again a bellwether, NAAL facilitated adoption of LOCKSS as a private network by ADPNet, a “first” in the industry. This allowed “ADPNet servers to crawl the library’s Web server and harvest ‘archival units’ designated by the library for storage,” and, because the network is private, information is not “visible to the already

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<sup>566</sup> Medina interview.

<sup>567</sup> Trehub and Wilson, 245-58.

<sup>568</sup> Draft, Network of Alabama Academic Libraries, Fiscal Year 2009 Plan, <http://alabamaacademiclibraries.pbworks.com/w/page/1666875/Annual%20Plan> (accessed May 1, 2012).

<sup>569</sup> Reich and Rosenthal.

<sup>570</sup> <http://www.adpn.org/institutions.html> (accessed October 8, 2012).

<sup>571</sup> [http://www.adpn.org/docs/pdf/ADPNet\\_Governance\\_Policy.pdf](http://www.adpn.org/docs/pdf/ADPNet_Governance_Policy.pdf) (accessed October 8, 2012).

established LOCKSS network used for e-journals.”<sup>572</sup> In Alabama, libraries and other repositories have access to ADPNet as a digital archive. LOCKSS networks act as a “dark archive” to be accessed only when digital records become inaccessible. A 2007 audit of LOCKSS explained: “Stored content is not ‘granted’ unless a specified ‘trigger event’ occurs, generally the loss of access to the content through the normally specified access point (i.e., a publisher’s Website).”<sup>573</sup> Trehub added that ADPNet was the first functional statewide Private LOCKSS Network (PLN) in the United States and, although cultivated in a “relatively poor state,” collaboration among institutions produced an economically sustainable solution for long-term digital curation.<sup>574</sup>

Unique materials from collections statewide have appeal to casual observers as well as scholarly researchers. Digitization eased access to what Medina labeled “treasures,” but affordable preservation ensured longevity. This merger of concerns echoes the three *Es* long associated with NAAL’s initiatives: equity, excellence, and economy.<sup>575</sup>

### **Michael Malone**

In 2002, the new Executive Director of ACHE, Michael Malone, met with Stephens.<sup>576</sup> Stephens “noted that Dr. Malone was very positive about NAAL and very interested in how NAAL libraries support their own students as well as students throughout Alabama.” Stephens’s talking

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<sup>572</sup> Sue O. Medina, “The Alabama Vision,” *Against the Grain* (February 2008): 30, [http://www.against-the-grain.com/TOCFiles/20-1\\_Medina.pdf](http://www.against-the-grain.com/TOCFiles/20-1_Medina.pdf) (accessed March 4, 2010).

<sup>573</sup> Robin Dale, “Center for Research Libraries Auditing and Certification of Digital Archives Project: LOCKSS Audit Report (November 2007): 7, [http://www.crl.edu/sites/default/files/attachments/pages/LOCKSS\\_Audit\\_Report\\_11-07.pdf](http://www.crl.edu/sites/default/files/attachments/pages/LOCKSS_Audit_Report_11-07.pdf) (accessed October 7, 2012).

<sup>574</sup> Aaron Trehub, “Keeping It Simple” (presentation to LIS 505 Collection Development class, School of Library and Information Studies, University of Alabama, Tuscaloosa, AL, March 23, 2011).

<sup>575</sup> Medina, “A Miracle for the Millennium,” 12, and Stephens interview.

<sup>576</sup> Henry Hector served as executive director of Alabama Commission on Higher Education from January 1991 until his retirement in May 2001. Malone served as Executive Director of ACHE from July 2002 to July 2006. During his tenure the state's unified budget recommendation was passed with the support of a unified and united higher education community. His leadership gained national attention for the state through his appointment to the American College board of directors. [http://www.jsu.edu/news/july\\_dec2006/07142006c.html](http://www.jsu.edu/news/july_dec2006/07142006c.html).

points in this conversation included historic information about NAAL's budget: "Since 1990 when the budget was \$1.1 [million], the NAAL budget has been cut to less than \$355,000."<sup>577</sup> Every year NAAL's Executive Council prepared an annual budget for support of NAAL. The Advisory Council reviewed and revised the budget and then submitted it to ACHE, fiscal agent for NAAL. The state legislature appropriated funds for NAAL. Malone offered his perspective to Stephens and "stressed a need to package the positive messages about NAAL's benefits and promote these to the larger community," directing his message to NAAL library directors, who should communicate with faculty and presidents. He also emphasized the urgency of NAAL developing a plan "with measurable deliverables because the Alabama Legislature stresses accountability."<sup>578</sup> Malone underscored the necessity of affirmative communication and quantifiable indicators.

The 2003 NAAL planning retreat included a brief biography of Malone, describing him as an "exceptional teacher and administrator," one who has "vision to strengthen the larger community," and has been recognized for his "distinguished service." He was also noted to be one who "excels in strategic planning, marketing and advancement" and who "is a strong advocate for how higher education benefits individuals and for economic contributions made to the State by a well-educated citizenry."<sup>579</sup> His introduction to the NAAL community, beyond academic and professional accomplishments, included mention of his community service through organizations familiar to many in Alabama, such as the Super-Six Championship games at Legion Field and the executive board of the Alabama-Florida Council Boy Scouts of America. Contrastingly, his predecessor Hector was known for being from Indiana.

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<sup>577</sup> "Talking Points for NAAL Orientation with Dr. Malone (Dr. Jerry Stephens)," n.d. Stephens papers.

<sup>578</sup> Sue Medina, minutes of FY2001-2002 Executive Council meeting of Sept. 25, 2002. Attachment A to Nov. 13, 2003 meeting of Executive Council.

<sup>579</sup> Network of Alabama Academic Libraries 2003 Planning Retreat, April 27-29, 2003.

Typically, changes in key participants impact organizations in the fifth phase of corporate life cycles as new partnerships and activities commence. Henry Hector's ten-year service as ACHE's executive director had been fraught with marked cuts in education funding and recurring questions about NAAL's structure.<sup>580</sup> Upon Malone's retirement as ACHE's executive director in 2006, he emphasized the critical role of cooperation in education undertakings, contrasting "the shameful mistrust and combativeness that existed between the Alabama Commission on Higher Education and the State Board of Education prior to 2002" and subsequent "real unified budget...predicated on trust, cooperation, and good planning."<sup>581</sup>

### Summary

New possibilities and interactions abounded in the fifth phase of NAAL's life cycle, a time of renewal. Maintaining a primary focus on collaboration among institutions statewide, NAAL embraced opportunities to facilitate best practices and practical applications. Four-year institutions of higher learning not eligible for NAAL memberships received invitations "to share online databases, participate in continuing education activities, and engage in joint planning for increasingly technology-based delivery of library services and resources" through a new Affiliate Program.<sup>582</sup> Between 2001 and 2009, increasingly amplified emphasis on technology and digital collections challenged the network to sustain dedication to academic library collections while exploring expanding K-12 educational needs and statewide information services. IMLS Leadership grants

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<sup>580</sup> Gregory Fitch followed Michael Malone as executive director of ACHE. His emphasis on early preparation for college dovetailed with Medina's longstanding efforts to ensure equitable access to information resources that supported education.

<sup>581</sup> Michael E. Malone, "Alabama Voices: Time to Raise Expectations in Higher Education," *Montgomery Advertiser* (February 16, 2006). <http://www.montgomeryadvertiser.com/article/20060528/OPINION0101/605260415/ALABAMA-VOICES-Time-raise-expectations-higher-education> (accessed February 16, 2013).

<sup>582</sup> Draft, Network of Alabama Academic Libraries, Fiscal Year 2009 Plan, <http://alabamaacademiclibraries.pbworks.com/w/page/1666875/Annual%20Plan> (accessed May 1, 2012).

provided financial assistance to empower digital documentation of Alabama history and culture and secure preservation for these records. Aaron Trehub, assistant dean for technology and technical services at the Auburn University Libraries, argued that, as long-term digital curation develops, ADPNet is “a model for other states and even countries [because it] proved that it is possible to build an economically sustainable solution.”<sup>583</sup> Just prior to her own retirement as executive director of NAAL for 25 years, Medina promoted NAAL’s “commitment to expand access to global information...assure access to information resources about Alabama...share academic library resources regardless of where they are held...develop partnerships to expand access to information, and...improve library accountability and performance.” Evidence collected for phase five of the life cycle description demonstrated that change allowed for advancement in NAAL’s development..

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<sup>583</sup> Trehub, “Keeping It Simple” presentation.

## CHAPTER EIGHT

### CONCLUSION TO THE STUDY

“What society most needs is the distribution of the knowledge in its possession.”

--Lester Frank Ward, *Dynamic Sociology, or Applied Social Science, as Based Upon Statistical Sociology and the Less Complex Sciences*

This study investigated the distinctive development of the Network of Alabama Academic Libraries (NAAL) through the voices of principal participants. Their narratives contributed to identification of network origins and achievement factors. Additionally, framing the investigation using a life cycle analysis provided structural organization for evidence collected in oral histories describing NAAL’s development.

This chapter presents research questions that informed this investigation with summaries of the findings, including prevailing themes and critical factors. A review of the applied life cycle structure is included. Finally, recommendations for further study are suggested.

### **PRESENTATION OF FINDINGS**

NAAL committed early to developing a cohesive understanding of community. The Alabama Committee on Higher Education (ACHE) advisory Council of Librarians emerged as the network’s original cohort and quantified failings in graduate research collections at institutions of higher learning. This forward-looking assemblage gathered data and published findings as the *Cooperative Library Resource Sharing among Universities Supporting Graduate Study in Alabama* in 1982. The document contained convincing evidence that prompted establishment of NAAL. Capable, visionary leadership and participatory librarians steadied an innovative, collective effort by Alabama

libraries and positioned NAAL as a bellwether with the first state-sponsored academic library consortium aligning both public and private institutions of higher learning as equal partners and again with the first functional statewide Private LOCKSS Network (PLN) preserving digitally archived materials.

Research Question One: How was NAAL able to promote and sustain interlibrary cooperation, networking, and collaboration from 1984-2009?

### Prevailing Themes and Critical Factors

#### *Needs*

By 1982, at the behest of the ACHE Council of Graduate Deans, the Council of Librarians investigated and identified deficiencies in academic libraries at institutions of higher learning offering graduate programs. They determined that years of overburdened library budgets fostered an edict for collective corrective action. Institutions “fighting over very limited state dollars” began to ask specifically, “What can we do together to improve all of the libraries?”<sup>584</sup>

A decade later, public availability of the Internet drove statewide demand for broad equitable electronic access to information. While NAAL pioneered collaborative improvement of resources supporting graduate research and study in Alabama’s academic libraries, community colleges and K-12 institutions were not included in original considerations of assessment and development because of legislated parameters for state agencies, including ACHE, and because of limited resources. However, in 1996, ACHE encouraged NAAL to extend general membership to undergraduate-only Athens College, and this dramatic outreach followed with subsequent inclusion of public libraries and private undergraduate-only institutions as members. NAAL, as a recognized “mechanism for...resource-sharing activities,” demonstrated willingness to provide collective information

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<sup>584</sup> Medina interview.

resources statewide by working to develop the AVL, a virtual library for all Alabama citizens.<sup>585</sup> Recognition of a gap in information and progressive means of delivery encouraged expanded outreach as a way to mitigate breaches in access.

The network continued to investigate complex information needs even as AVL emerged. Considerations of enhancing electronic access to Alabama historical artifacts arose as a natural outgrowth of advancing technology. Emphases on digital preservation and public awareness surfaced as complementary concerns in repository settings, specifically historical archives, special libraries, and museums.

### *Outcomes*

NAAL emerged as a viable collaborative organizational structure for academic libraries following enthusiastic response to *Cooperative Library Resource Sharing among Universities Supporting Graduate Study in Alabama* in Montgomery. As member institutions recognized the strength inherent in group action, retrospective conversion of bibliographic records and facilitation of interlibrary loans enabled shared access to resources among academic libraries with strong support from university presidents and ACHE. Recognition of disjunctions and commitment to correction inspired NAAL member institutions to promote collaboration.

The network advanced access to online databases through the AVL for K-12 schools, public libraries, and community colleges beyond NAAL's primary focus of academic libraries. Commonly used descriptors for the AVL included equity, excellence, and economy. This virtual library initiative had broad appeal to the state legislature because of grassroots promotion from "those outside the traditional library community...local school boards, economic development groups, and other leaders in the business community who donate to campaigns and work with electronic

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<sup>585</sup> Medina and Highfill, "Shaping Consensus," 15.



representatives on a regular basis.”<sup>586</sup> AVL fruition occurred through a united effort involving multiple agencies: ACHE, the Alabama Department of Education, the Alabama Department of Postsecondary Education, the Alabama Supercomputer Authority, and the Alabama Public Library Service.<sup>587</sup>

NAAL sanctioned forward-looking plans for disaster preparedness and recovery beyond considerations of safeguarding and displaying artifacts through the AlabamaMosaic website. In 2004, availability of online collections of digitized materials reflecting Alabama’s history, culture, places, and people led to emerging emphasis on long-term electronic access to and preservation of digital content at Alabama institutions. The network expanded its infrastructure and expectations to allow for quality digitization of documents as well as electronic storage and archiving in the Alabama Digital Preservation Network (ADPNet) and “Lots of Copies Keep Stuff Safe” (LOCKSS) by 2006. These efforts worked toward protecting records threatened by physical damage or inaccessibility due to obsolete hardware and software.

### *Structures*

NAAL proponents organized a cadre of librarians, two college presidents, two chief academic officers, and a graduate dean to comprise NAAL’s interim advisory council. In crafting the network organizational structure, they “insured lack of ambiguity in subsequent interpretations of the intent of the founders...[and] continue[d] to provide direct and clear guidance for governance and programmatic direction.”<sup>588</sup> Consistent emphases on “democratic representation” and “checks

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<sup>586</sup> Morgan, 52.

<sup>587</sup> Medina, “A Miracle for the Millennium,” 12-13. In keeping with promotion of collaboration, Medina listed additional support organizations in this effort, including Alabama Classroom Teachers Association, Alabama Education Association, Alabama Health Librarians Association, Alabama Instructional Media Association, Alabama Library Association, Network of Alabama Academic Libraries, Parent-Teachers Organization, Public Library Administrators, and Two-Year College Association.

<sup>588</sup> Medina and Highfill, “Effective Governance,” 16.

and balances” ensured voice to all participants with one-institution, one-vote throughout NAAL’s twenty-five-year history. A longstanding format of membership, operations, and governance grew out of the network’s preliminary advisory council projections, consultant Norman Stevens’s input, and the NAAL Advisory Council’s counsel, including voting and non-voting member institutions. The ongoing evolution of this structuring promoted consensus and cooperation by allowing a platform to promote common vision among the member institutions having an investment in the success of the network.

More than a decade after the formation of NAAL, a conglomeration of state agencies, rather than one body, controlled the AVL.<sup>589</sup> Medina observed that casting a structure for governance of the AVL required cautious scrutiny because forthcoming requests for funding made to the legislature offered a unique opportunity to vary from past practices: “Alabama’s traditional strategy for successful funding...has been to advocate funding for your program, without regard for any other entity.”<sup>590</sup> AVL, as a collaborative effort, offered the legislature an opportunity “to fund a shared program.”<sup>591</sup> NAAL acted first to seek funding for this initiative, and other agencies, including the Alabama Supercomputer Authority and APLS, provided support services. Morgan argued that this “close cooperation” among “agencies, participating database providers, and site coordinators prevented the data collection and site access from dissolving into a nightmare of early failure.”<sup>592</sup>

Development of the Cornerstone Project, 2001-2004, established “the infrastructure for a statewide digital collection” and included three digital production centers and a related

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<sup>589</sup> Medina, “A Miracle for the Millennium,” 12.

<sup>590</sup> Ibid., 13.

<sup>591</sup> Ibid.

<sup>592</sup> Morgan, 54.

AlabamaMosaic website.<sup>593</sup> Auburn University hosted the AlabamaMosaic website, and NAAL acted as organizer and administrator for the initiatives statewide. At the onset, digitization efforts were directed at noteworthy artifacts in collections at ADAH, Auburn University, The University of Alabama, and the Birmingham Public Library. Repositories all over the state received encouragement and instruction for contributing digitized records held locally.

NAAL acted to organize structure for preserving and archiving digital assets statewide through ADPNet and LOCKSS. The ADPNet Steering Committee determined policy, and the ADPNet Technical Committee regulated hardware and software. As a “dark” archive, ADPNet provided long-term preservation opportunities only. Member institutions, including ADAH, Auburn University, Spring Hill College, Troy University, The University of Alabama, the University of Alabama at Birmingham, the University of North Alabama, could not access or display stored records. Along with ADAH, these six academic libraries assisted with hosting LOCKSS servers, where contributed content became available for harvesting and archiving by ADPNet.

### *Visibility*

NAAL’s evolution depended on “image, goal setting, and performance.”<sup>594</sup> A basic outline for NAAL promotion throughout the state developed from a strategic meeting with Senator Lister Hill Proctor in 1984. Critical concepts included explanations of the NAAL mission, current academic library deficiencies, funding options, future projections, and related citizen benefits. From the persuasive powers of James Vickrey, president of the network’s initial advisory council, to the first annual planning retreat held at Orange Beach to the purple postcards in the grassroots campaign for the AVL, momentum secured NAAL’s ongoing presence throughout Alabama.

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<sup>593</sup> “AlabamaMosaic,” PowerPoint presentation, <http://www.alabamamosiac.org> (accessed May 10, 2011).

<sup>594</sup> Medina and Highfill, “Shaping Consensus,” 140.

Publicizing NAAL to librarians within member organizations first involved engagement facilitating standardized cataloguing practices statewide through retrospective conversion with strict parameters, including a five-year time completion period, OCLC usage fees, and local record inputting. Librarians received “highly structured training...made as painless as possible.”<sup>595</sup> Multiple oral history participants in this study described how state funding did not cover all costs for this process and how institutions subsidized the expenditures, demonstrating commitment to cooperation through the network. Medina confirmed that “the institutions made up that difference, and we met that five-year goal.”<sup>596</sup> Early development of trust and understanding through communication of network objectives promoted NAAL within the academic librarian community.

A variety of publicity undertakings existed within the twenty-five-year history of NAAL. Articles published in periodicals, both trade and academic, reinforced the network’s role in promoting equitable access to information for all Alabama citizens. Stephens underscored the value of outreach in his description of Medina’s visits to new college presidents:

One of the hardest things to do after the initial creation, was, as presidents changed, as librarians changed, was to bring everyone up to speed and to let everyone know that this organization does exist for each institution. Sue would make appointments with every new president and every new librarian and make sure that, one, they felt included, two, that they understood what was going on, and, three, that they had a role to play. So we were trying to get that buy-in.<sup>597</sup>

Because NAAL designated institutions as members, communication with presidents remained critical. Lobbying, too, with the state legislature provided opportunities for publicity. ACHE Executive Director Joseph Sutton, Director of ACHE’s Office of Institutional Effectiveness Planning Elizabeth French, and University of Alabama attorney Jefferson Bennett numbered among early NAAL supporters in Montgomery.

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<sup>595</sup> Medina and Highfill, “Shaping Consensus,” 141.

<sup>596</sup> Medina interview.

<sup>597</sup> Stephens interview.

Perhaps NAAL's greatest publicity campaign occurred in relation to the implementation of the AVL in 1999. NAAL and APLS received small planning grants and published brochures detailing the AVL's benefits, and the AVL steering committee produced a five-minute video to illustrate the virtual library for legislators and community groups. The Alabama Coalition for Tomorrow (ACT) championed a statewide virtual library by participating in thirty-five town meetings to formulate a legislative agenda. To ensure a groundswell of local contacts, the AVL coalition coordinated a statewide campaign of purple postcards distributed to citizens by public libraries, K-12 schools, and college campuses. More than 80,000 postcards reached the state legislature within a three-month period.

NAAL facilitated access to evidence of Alabama's culture and history through electronic resources through two IMLS Leadership grants supporting development of the Cornerstone Project and related AlabamaMosaic website and received national recognition for digital preservation efforts undertaken in Alabama. The AlabamaMosaic initiative recognized the value of Alabama historical materials held by individuals and offered one-day workshops at public libraries to give instruction for "caring for historical paper, primarily photographs and documents such as letters, and caring for fabrics...[and for learning] how to scan items so they could share their family histories but avoid handling fragile objects."<sup>598</sup> Funding challenges limited workshop availability, but direct appeal to Alabama citizens through recognition of their role in preserving Alabama history championed NAAL and encouraged individual awareness of digitization.

NAAL promoted ADPNet and LOCKSS through direct contact with constituencies. Digital preservation workshops attracted attention at libraries and other repositories, and NAAL's acknowledged and longstanding commitment to providing information access encouraged

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<sup>598</sup> Medina, "The Alabama Vision," 29.

participation throughout the state. Further, to endorse support for legal requirements, ADAH communicated with legislators regarding requirements for archiving state publications.

### *Funding*

Lack of funding was a critical element in the inspiration for and development of strategies for NAAL, and the challenge has continued for the network. At the onset, member institutions received assessments for initial membership fees for initial network operation ranging from \$1,500 to \$16,000 and totaling approximately \$70,000.<sup>599</sup> Those founding members, acting as shareholders, demonstrated confidence in NAAL's first phase by "initiating, as the first major network program, a multiyear retrospective conversion project with little assurance that state funding could be obtained or would continue after the first year."<sup>600</sup>

Just as the AVL succeeded through support from a community of Alabama agencies, multiple funding sources outside Alabama boundaries also benefited the virtual library. These included federal monies from the Library Services and Construction Act (LSCA), the Library Services and Technology Act (LSTA), the Goals 2000 program, and the Universal Service Fund for Schools and Libraries as well as donations from the Bill and Melinda Gates Foundation.

NAAL assumed responsibility for ensuring that primary records, "digital surrogates," would be accessible to Alabama citizens.<sup>601</sup> Funding for the Cornerstone Project in 2001 came from an IMLS Leadership grant and matching funds through in-kind services offered by NAAL and by ADAH, Auburn University, and The University of Alabama. A second IMLS Leadership grant provided for the AlabamaMosaic website to house historically valuable records in electronic formats.

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<sup>599</sup> Medina and Highfill, "Effective Governance," 18.

<sup>600</sup> *Ibid.*, 20.

<sup>601</sup> Downer, Medina, Nichol, and Trehub, 237.

In the first years of the twenty-first century, projects undertaken by NAAL demonstrated the network's assurance to managing compound developments and organizing variegated provisions. NAAL applied for and received a two-year IMLS grant that launched ADPNet in 2006. A roster of participant organizations made contributions to support ADPNet and LOCKSS initiatives.<sup>602</sup> Auburn University provided technical leadership through Aaron Trehub, and NAAL acted as state coordinator. ADAH advocated for storage of digital records developed by state agencies. NAAL partners also offered practical assistance through offerings of committed "personnel, physical facilities, equipment, and software."<sup>603</sup> Since its inception, NAAL's outreach extended beyond a strict sense of graduate-level resource sharing among academic libraries.

Research Question Two: How did NAAL forerunners, who sponsored equitable access, influence optimum use of research resources?

#### Prevailing Themes and Critical Factors

##### *Needs*

Early adopters envisioned a dynamic network for improving collections of diluted research resources and facilitating access to information across Alabama. The strategy for NAAL's origins included "rapport with the graduate deans and considerations of programs to benefit each member institution, specifically a network of academic libraries."<sup>604</sup> Variables of power, politics, and personality determined the fate of this statewide effort over its twenty-five-year course, but the persistent entrepreneurial energy of NAAL stalwarts secured the network's position.<sup>605</sup>

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<sup>602</sup> Alabama Commission on Higher Education, Network of Alabama Academic Libraries. "IMLS 2006 National Leadership Grant: Building Digital Resources." <http://www.ache.alabama.gov/NAAL/ADPN%20Proposal.pdf> (accessed December 19, 2012).

<sup>603</sup> Ibid.

<sup>604</sup> Stephens interview.

<sup>605</sup> Engle.

Continuously challenged by insufficient state funding, academic libraries grappled with assuring the adequacy of graduate research resources. The Council of Librarians, advisory to ACHE, provided a comprehensive overview targeting existing limitations in collection development, staffing, physical space, bibliographic and material access, and computerization with presentation of *Cooperative Library Resource Sharing among Universities Supporting Graduate Study*. The authors of the study suggested resolution of deficiencies through establishment of a network of academic libraries—an enlightened, inclusive approach.

NAAL management acknowledged the need to facilitate information seeking beyond college campuses to include K-12 schools, public libraries, and community colleges, and spearheaded collaboration with numerous state agencies to develop a strategy ensuring equity, excellence, and economy. Several years after NAAL's establishment, the network's leaders harnessed dramatic advances in technology, including the Internet, and cultivated an imperative to provide democratic access to electronic resources. Foreshadowing the AVL card, the original 1982 Council of Librarians even mentioned eventual "development of a statewide borrower's card" for use by faculty and graduate students in a discussion of interlibrary loan advancement.<sup>606</sup>

By the turn of the twenty-first century, NAAL leadership recognized that strengthening collective library resources also encompassed providing electronic access to Alabama's unique research materials, special collections, housed in academic libraries and other repositories. Risks of endangered or lost collections through inadequate preservation or security loomed statewide. Task force members explored possibilities for alternative methods of preservation through digitization. Identifying and making items available for processing presented a myriad of considerations.

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<sup>606</sup> Alabama Commission on Higher Education, Council of Librarians, *Cooperative Library Resource Sharing*, 79.



## *Outcomes*

NAAL pioneers were well versed in the ongoing struggles faced by the Alabama Public Library Service (APLS) with its diverse offerings of multitype library consortiums, and, accordingly, they acted to ensure NAAL's viability by restricting participation in the network to institutions with graduate programs to allow for a manageable program to start.<sup>607</sup> Conceptualization of the network by founders specified practical requirements for a program director, support staff, and office space. Their report also covered funding for the initiative and suggested that all network members shoulder the costs. Vigilant planning offered a strong launch for the effort early in NAAL's development.

NAAL leadership introduced and sustained a common focus for development of the AVL. Discussions surrounding events leading to Athens College's membership in NAAL in 1996 reinforced the network's leadership interest in expanded advocacy for resource sharing beyond academic libraries. By 1998, five agencies parsed policy issues and developed "an ideal merger of the aspirations of the education community to improve information resources supporting education, the reality of the State's funding, and the emergence of online information."<sup>608</sup>

Storage of digital collections, including state documents, became a priority for NAAL participants. Best described how "publications are created, exist, and then disappear often without librarians or citizens becoming aware of their existence."<sup>609</sup> Originally, network leadership recognized an overriding need to supplement an ADAH study guide for Alabama history curriculum and implemented the Cornerstone Project. The resultant website AlabamaMosaic included a digital collection of artifacts specific to Alabama history and culture.

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<sup>607</sup> NAAL contended with requests for membership from two-year (community) colleges and for-profit colleges over the years. Ultimately two-year institutions, but not for-profit colleges, gained membership privileges in 1996.

<sup>608</sup> Medina, "A Miracle for the Millennium," 12.

<sup>609</sup> Rickey Best, "Preserving and Providing Access to Digital State Publications in Alabama: A Case of Cooperation," *The Southeastern Librarian* 57, no. 3 (fall 2009):

Five guiding principles supported development of ADPNet. NAAL leaders understood that cultivating sustainability for digital preservation would be more challenging than advocating for a more easily understood concept—digital collection building. Therefore, ADPNet producers emphasized simplicity, affordability, minimalist governance, basic maintenance and administrative overhead, and connectivity with NAAL, an existing agency with established credibility.<sup>610</sup> NAAL, in turn, stressed the benefits of safeguarding existing content to prevent loss of information.

### *Structures*

The Council of Librarians unveiled an ambitious initiative when it proposed creation of a statewide network of academic libraries in response to quantified evidence of inadequate graduate research resources in Alabama, but the publication *Cooperative Library Resource Sharing among Universities Supporting Graduate Study in Alabama* presented specifics of background, considerations, and resolution. They recognized the possibilities presented by collaboration and the limitations implied by poverty. A draft plan for the NAAL Fiscal Year 2009 described the impetus as a response to “Alabama’s historical underfunding for higher education by questioning the status quo.”<sup>611</sup> Medina explained that the vision of NAAL leaders structured an organization stressing institutional participation, not limited to libraries, to ensure involvement from graduate deans and presidents as advocates. The NAAL Advisory Board determined that the network would create a statewide database of holdings for all member institution libraries and, through OCLC, assessment and assistance with collection adequacy, which would promote sharing materials. The original information groundwork, purposefully consistent, served as a touchstone for subsequent initiatives.

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<sup>610</sup> Aaron Trehub, “The Alabama Digital Preservation Network (ADPNet): A Statewide Private LOCKSS Network” (presentation to SAA [Society of American Archivists]/CoSA [Council of State Archivists] Joint Annual Meeting, Austin, TX, August 13, 2009).

<sup>611</sup> Network of Alabama Academic Libraries, “Fiscal Year 2009 Plan (draft),” <http://alabamaacademiclibraries.pbworks.com/w/page/1666875/Annual%20Plan> (accessed January 14, 2012).

As advances in technology generated expanded access to information throughout Alabama and conferring of graduate degrees increased [see Appendix G].

Since 1988, NAAL leadership has promoted the network and its programs internally at annual planning meetings to strengthen opportunities for collaborative decision making through established affiliations. These meetings also served to gather NAAL membership in a casual but structured atmosphere to reinforce an effective organization through engagement. Members interacted in professional and social activities to encourage discussion of existing programs and new ideas.<sup>612</sup>

Providing access to the AVL at schools, libraries, and community colleges proved daunting. In the late 1990s, institutions of higher learning were familiar with Internet technology and shared databases, but other educational arenas “required a higher level of coordination,” provided by the Alabama Supercomputer Authority, the State Department of Education, and the APLS.<sup>613</sup> Confirmed collaboration among these targeted groups, guided by NAAL, led to provisions for and creation of individual AVL cards for use by individuals from home through Internet connections, and the APLS served as coordinating agent for issuing cards to Alabama citizens.

With successful implementation of the AVL, NAAL leadership grasped that, “despite the richness of Alabama’s electronic collections, searches of commercial databases do not as a rule yield much information about Alabama’s history and culture.”<sup>614</sup> They committed to developing a role for the network in support of making historical materials held by a wide range of Alabama repositories while protecting the primary materials. An undertaking to establish a digital collection included

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<sup>612</sup> The author presented an abbreviated proposal for this research project in October 2010 to the NAAL Advisory Board, who passed a resolution in support the documentation of “the creation and evolution of NAAL’s history” [see Appendix H].

<sup>613</sup> Morgan, 54.

<sup>614</sup> Downer, Medina, Nichol, and Trehub, 234.

parameters established by the NAAL Digital Content Committee as well as consideration that this new focus be connected to the well-received AVL to emphasize avoidance of duplication and outreach to a broad audience. The Cornerstone Project, 2001-2004, “provided digital files for public access...not a storage facility for master files.”<sup>615</sup> Content at participating repositories became available online at the AlabamaMosaic website in late 2003, and the project offered workshops in planning digital collections, scanning, creating metadata, and copyright to encourage participation statewide. NAAL placed special emphasis on outreach to historically black colleges and universities (HCBUs) in an effort to address “longstanding disparities in resources...and provide a way for the HBCUs to collaborate and encourage access to their collections, while still maintain control over the precious information, objects, and materials in diverse formats held by those institutions.”<sup>616</sup> The AlabamaMosaic platform offered access to longstanding Alabama treasures for those in Alabama and beyond.

With expanding emphasis on digital assets, preservation concerns motivated NAAL to “assure that repositories creating digital assets will contribute their files for long-term storage as a regular and routine task in their digital collection building.”<sup>617</sup> Many AlabamaMosaic participant repositories focused on adding digital content but were unable, often because of limited funding and training opportunities, to ensure digital preservation. As a result, “NAAL determined that a comprehensive plan for digital preservation is badly needed and must be added to its list of

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<sup>615</sup> Downer, Median, Nicol, and Trehub, 243.

<sup>616</sup> Ibid., 251.

<sup>617</sup> Alabama Commission on Higher Education, Network of Alabama Academic Libraries. “IMLS 2006 National Leadership Grant: Building Digital Resources.” <http://www.ache.alabama.gov/NAAL/ADPN%20Proposal.pdf> (accessed December 19, 2012).

projects.”<sup>618</sup> Reinforced with a second IMLS Leadership grant, implementation of ADPNet and LOCKSS grew from NAAL’s dedicated digital stewardship.

### *Visibility*

NAAL progenitors understood the critical nature of collaboration and outreach from the early days of the network to the current faceted structure. They understood that a systemized collaboration to improve information resources in Alabama would roll over individual institutional efforts and insufficient state funding. Once the network became a reality, NAAL continued to solicit input from member institutions, communities, and government agencies. At annual planning retreats, guest speakers from national organizations not only energized NAAL member attendees but worked to inform well-regarded authorities who served as apostles. Montgomery, as the capital of Alabama, provided a natural media outlet for government activity, and NAAL received coverage as a consortium of ACHE and public and private four-year universities. Publications in academic and trade journals served as reminders in professional arenas. Further, Medina traveled far and wide to publicize and train within the confines of the state and to broadcast NAAL’s activities at national meetings and conferences.

The AVL provided opportunities for outreach to a wide stage in Alabama. Beyond academic libraries, NAAL brought about access to shared databases for K-12, communities colleges, and public libraries as a result of an outpouring of support at local locations. Meetings with politicians, gatherings in communities, mass mailings, and training sessions educated residents about the product and the venues.

From physical and virtual libraries, NAAL provided electronic access to historical materials to provide instruction and research inside and outside state lines through digitized artifacts with

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<sup>618</sup> Alabama Commission on Higher Education, Network of Alabama Academic Libraries. “IMLS 2006 National Leadership Grant: Building Digital Resources.” <http://www.ache.alabama.gov/NAAL/ADPN%20Proposal.pdf> (accessed December 19, 2012).

AlabamaMosaic. The network placed particular emphasis on the Civil Rights movement. Further, NAAL ensured broad publicity for the predecessor Cornerstone Project through assistance from Liz Bishoff, who was director of the Colorado Digitization Project, and from participation in SOLINET workshops.

NAAL leadership looked beyond the state boundaries in considering the scope of ADPNet and LOCKSS. Heralds of digital preservation worked to minimize risk “through physical damage—from natural events, human intervention or error” and “obsolescence of hardware and software.”<sup>619</sup> NAAL stated in a description of the 2006 IMLS Leadership grant that the network would “advertise the importance of digital preservation throughout the state and offer participation in the LOCKSS network to assure that long-term preservation and storage become routine and ongoing activities for digital libraries and other collections.”<sup>620</sup> Promotion efforts included incorporation of state publications, those from agencies, boards, and commissions. NAAL recognized the widening gap in preservation of public documents and hoped to alert offices of the urgency of safeguarding documents, both print and “born digital” with strong participation from the Alabama Department of Archives (ADAH).

### *Funding*

NAAL leadership sustained ongoing advocacy for greater access to information statewide and reinforced momentum for over twenty-five years in NAAL’s history. Richard Wood, dean of university libraries at the University of South Alabama, explained that, “by facilitating the sharing of academic library resources, NAAL supports the efficient and effective use of Alabama’s limited

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<sup>619</sup> Alabama Commission on Higher Education, Network of Alabama Academic Libraries. “IMLS 2006 National Leadership Grant: Building Digital Resources.”

<sup>620</sup> Ibid.

funds for higher education.”<sup>621</sup> Forward-looking determination characterized NAAL’s capacity for fundraising to ensure ongoing emphasis and application of improved access to information throughout Alabama.

“Increased emphasis on the issues of control, direction, and governance of network activities” impacted funding for NAAL.<sup>622</sup> Stephens stressed equitable, not equal, funding. He explained that NAAL leadership and membership worked to benefit all participants.<sup>623</sup> Medina, too, broadened this perspective when she elaborated that, while NAAL offered advantage to all member institutions, enhanced library resources bolstered Alabama’s citizens.<sup>624</sup> Both Stephens and Medina emphasized that all NAAL projects since October 1, 1984, received support from state monies.<sup>625</sup>

Ongoing concerns for state financial support encouraged pursuit of a wide variety of funding sources outside legislative appropriations. Even before NAAL had a firm organizational structure in place, Stephens, then assistant director of Sterne Library at the University of Alabama at Birmingham, demonstrated emphasis on effective collection development practices when he wrote a grant application to support a widespread monograph conversion project in 1982.<sup>626</sup> NAAL received HEA II-D funding twice to support a telefacsimile system and to enable inclusion of branch libraries in network services in 1988 and 1989, respectively. Further, the Library Services and Construction Act (LSCA) provided funds to supplement reimbursement costs for interlibrary loan

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<sup>621</sup> Richard Wood, “NAAL and the Value of Library Cooperation” (May 1, 2001), <http://www.usouthal.edu/univlib/news/news18/naal.html> (accessed December 19, 2012).

<sup>622</sup> Norman Stevens, “Library Networks and Resource Sharing in the United States: An Historical and Philosophical Overview,” *Journal of the American Society for Information Science (pre-1986)* 31, no. 6 (November 1980): 408.

<sup>623</sup> Stephens interview.

<sup>624</sup> Medina, correspondence to Robert Donnell.

<sup>625</sup> Benchmark initiatives included the retrospective collection conversion and collection development efforts, the AVL, the Cornerstone and AlabamaMosaic projects, ADPNet, and LOCKSS.

<sup>626</sup> French interview.

transactions with the APLS. Financial support from the Alabama Council on the Arts sponsored a NAAL-conducted statewide inventory of art located in libraries.

NAAL recognized the potential for a virtual library as technology allowed for shared databases through software like NOTIS. Promoting early support, the steering committee for this initiative gathered diverse participants, including state education agencies ambassadors, state public library service representatives, school media specialists, and academic and public librarians. These advocates for electronic access understood the need to explain related benefits to Alabama legislators and citizens as well as the urgency to cultivate common vision and grassroots support throughout communities statewide.

Offering opportunities for a wide range of member repositories, NAAL leaders stressed collecting as well as protecting digital records and applied training to underscore what Trehub called “unglamorous” efficiency. IMLS grants supported electronic access to primary source materials and archival protection as ADPNet developed. ADPNet expenses included coverage for servers and storage upgrades, and LOCKSS alliance fees related directly to institution size and type. Strategies for encouraging extensive membership included sliding scale fees for small institutions as well as repositories with limited quantities of content slated for preservation.

Research Question Three: What factors effected and distinguished the successful library consortium established through NAAL?

#### Prevailing Themes and Critical Factors

##### *Needs*

An unrelenting struggle among state-funded institutions in Alabama caused competition among these entities and encouraged currying favor among legislators, those who held the purse strings. By the late 1970s, ACHE advisory councils comprised of university presidents, graduate



deans, and librarians emphasized deficiencies surrounding graduate research resources at institutions of higher learning. Resource sharing through collaboration emerged as a plausible solution.

In keeping with emphasis on equitable access to electronic resources, the network recognized the need to corral and educate multiple constituencies concerning a virtual library for Alabama. Years after the establishment of NAAL, with the advent of the Internet, the paucity of research resources in K-12 schools, community colleges, and public libraries became readily apparent.

Those accessing shared databases were not able to locate primary sources online in Alabama. Artifacts held in special libraries, museums, and other repositories provided unique information and interpretation, but they required immediacy from researchers. Further, the delicate condition of these distinctive materials restricted their use. Enrichment studies for Alabama history students, with particular emphasis on civil rights events, required innovative delivery through digital capture and electronic access.

The vulnerable nature of virtual collections required emphasis on preservation. In planning these digital collections, repositories indicated interest in contributing records while maintaining physical objects. Beyond threats from corrupted files, frequent catastrophic weather in the deep South offered opportunities for widespread destruction. In the first decade of the twenty-first century, extraordinary natural disasters, such as hurricanes Katrina and Rita, underscored the ongoing threats to repositories and encouraged implementation of preservation plans by libraries and repositories.

### *Outcomes*

ACHE members gathered from all areas of Alabama and responded enthusiastically to Vickrey's presentation in November 1982, including a list of actions illustrating NAAL's projected timeline. Responding to their charge of tending and improving higher education, they voted to

support NAAL and included a line item request in the Legislative Budget for network funding. Under the leadership of NAAL advocate and ACHE director Joseph Sutton, ACHE continued to demonstrate strong backing for NAAL by favoring a proposed retrospective conversion project for library holdings.

Following conversion of printed collection bibliographic information to electronic format and establishment of a statewide collection development plan for academic libraries, the NAAL community advanced collaboratively to embrace a wider vision. Outreach to K-12 schools, public libraries, and community colleges became possible with technological advances and shared online databases. Demonstrating peak functionality, the conception of AVL emboldened librarians and educators to partner with lobbyists, produce a video and brochure, and orchestrate the mailing of tens of thousands of postcards from citizens to local senators and representatives during a three-month campaign in 1999. Always a NAAL advocate, Medina elaborated: “And while it was everybody—it was NAAL...[A]cademic libraries put their resources into making presentations to Rotary clubs, PTAs, doing workshops, explaining how wonderful this is going to be, and I really think it makes a difference.”<sup>627</sup> Technological advancements and limited funding sparked a collaborative effort that led to a powerful transformative effect—a virtual library for all Alabamians.

Research resources became accessible to Alabama residents through a virtual library in Alabama, and scarce access to primary sources stimulated the growth of digital collections. Expanding interest in historical artifacts coupled with available grant funding led NAAL to encourage libraries to digitize materials and make these images available to the public online through the AlabamaMosaic website. Such evolution led to NAAL’s consideration of newly obtainable digitization programs, including elements of imaging standards, scanning software, metadata, and copyright.

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<sup>627</sup> Medina interview.

NAAL identified protection and storage of digital resources as critical complements to preservation of digitized assets. Once again the network demonstrated vision and capacity to meet information needs beyond the original vision of enriching research resources for institutions offering graduate programs. NAAL applied and expanded this perspective with the direct adoption of ADPNet, “a trusted, long-term, archival storage facility” and LOCKSS, open source software maintained and advanced at Stanford University.<sup>628</sup> As Highfill concisely stated, NAAL “kept up with the development of librarianship.”<sup>629</sup>

### *Structures*

Prior to establishment of a formal organizational structure, Vickrey’s strong voice in NAAL’s successful inception conveyed “to the presidents that this is an investment in everyone’s future,” which “established membership bases, which established the membership fees, which all the institutions paid into a fund...still available to us...managed by the University of Montevallo.”<sup>630</sup> The network achieved fruition, in part, because of a fiercely collaborative spirit behind the concept of an academic library commons in Alabama.

Proponents for the AVL recognized early that achievement would be written through blended organizational efforts. While NAAL spearheaded the initiative in 1999, individual participants hailed from a variety of state-funded entities, from educational agencies in Montgomery to a spectrum of libraries from multiple counties. This popular initiative reinforced broad appeal with its emphasis on equity, excellence, and economy. The APLS served as fiscal agent, and appointed representatives from ACHE, the Alabama Department of Postsecondary Education, the

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<sup>628</sup> Medina, “Alabama Vision,” 30.

<sup>629</sup> Highfill interview.

<sup>630</sup> Stephens interview.

Alabama Department of Education, the APLS, and the Alabama Supercomputer Authority would serve on the AVL Council and give voice to all citizens.

The Cornerstone Project stretched from 2001 to 2004, when the contents were captured as part of the AlabamaMosaic website. Interest in digital collections matured, and NAAL provided training and consulting for participating repositories. Special emphasis was placed on engaging HBCUs and on promoting civil rights materials throughout the state.

NAAL proposed development of “a collaborative, state-based, low-cost storage solution for digital collections that will serve repositories of all types” and assumed management for ADPNet.<sup>631</sup> Participation from member institutions, including ADAH, demonstrated a willingness to employ proven technologies in preservation projects. Auburn University assumed a critical role as host site.

### *Visibility*

NAAL’s vision encouraged comprehension of the network’s tasks and garnered support for ongoing efforts among member institutions. The network engaged ACHE, and then, from the beginning, unrelenting momentum pushed NAAL forward. A basic outline for NAAL promotion throughout the state developed out of a strategic meeting with Senator Lister Hill Proctor in 1984. Critical concepts included explanations of the NAAL mission, current academic library deficiencies, funding options, future projections, and related citizen benefits. NAAL advocates then presented these precise interests in future conversations with potential partakers in the information community. Throughout the process, as Medina argued, participants “didn’t talk about it so much as...acted on it.”<sup>632</sup>

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<sup>631</sup> Alabama Commission on Higher Education, Network of Alabama Academic Libraries, IMLS 2006 National Leadership Grant: Building Digital Resources.”

<sup>632</sup> Medina interview.

NAAL experienced dynamic development as the Internet became available for public use. In late 1991, members of NAAL's executive council demonstrated applications of electronic connectivity among Alabama libraries to ACHE in Montgomery. Stephens captured the audience's attention easily with a presentation of a dial-up, online catalog. Connections with the Alabama Supercomputer Network did not include any associated costs, and NAAL agreed to fund database licensing fees. This demonstration, "A Network for the Nineties" introduced ACHE to practical application of what was then a phenomenon, the Internet. In less than ten years forward, the concept of an Alabama virtual library became a reality. NAAL leadership captured "a pledge of unity by the state agencies and the entire educational and library community."<sup>633</sup>

Within the network, member institutions offered a strong voice to guide and coordinate activities that facilitated access to and preservation of digitized materials statewide through AlabamaMosaic and ADPNet. For each initiative, NAAL offered training and support which, in turn, facilitated commitment and growth in communities throughout Alabama. NAAL served as the link among members representing needs of their individual institutions and communities while developing unified impact in an electronic environment of information. Independently, NAAL members sustained individual presence in their own localities. Banded together, they created significant impact by demonstrating the strength of combined institutions to the state legislature as they advocated for developing effective processes to provide collective access to information, skills, and tools in digital arenas.

Additional circumstances contributing to the publicity for ADPNet and LOCKSS grew from both IMLS recognition and Auburn University industriousness. Trehub, who served as ADPNet project director and then as first chair of the ADPNet steering committee, continued as assistant dean for technology at Auburn University, the host institution for ADPNet. Trehub recently acted

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<sup>633</sup> Medina, "A Miracle for the Millennium," 12.

to develop an international conference focused on international cooperation in digital preservation, which promoted Alabama, NAAL, and ADPNet on a worldwide stage.<sup>634</sup> Additionally Trehub received the 2010 Sue O. Medina Award for Significant Contribution from the Alabama Association of College and Research Libraries (AACRL) to acknowledge his commitment to improving academic libraries. This recognition, too, encouraged awareness of ADPNet and digital preservation efforts in Alabama.

### *Funding*

A network of academic libraries grew out of quantified evidence that statewide collaborative effort among academic libraries would ameliorate weaknesses through cooperation. NAAL member institutions received assessments for initial membership fees for network operation ranging from \$1,500 to \$16,000 and totaling approximately \$70,000.<sup>635</sup> Medina and Highfill noted that, at the time of NAAL's development, "Alabama was suffering through the fourth year of a recession...[and] institution budgets had been cut and no relief was forecast."<sup>636</sup> However, those early members demonstrated confidence in NAAL's first phase by "initiating, as the first major network program, a multiyear retrospective conversion project with little assurance that state funding could be obtained or would continue after the first year."<sup>637</sup>

"Increased emphasis on the issues of control, direction, and governance of network activities" impacted funding for NAAL.<sup>638</sup> Ongoing concerns for state financial support encouraged

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<sup>634</sup> "International Conference on Digital Preservation: Auburn University Libraries' Aaron Trehub Helps Organize International Conference on Digital Preservation," *What's New at Auburn Libraries* (March 24, 2011), <http://www.lib.auburn.edu/whatsnew/2011/03/> (accessed January 20, 2013).

<sup>635</sup> Medina and Highfill, "Effective Governance," 18.

<sup>636</sup> *Ibid.*

<sup>637</sup> *Ibid.*, 20.

<sup>638</sup> Norman Stevens, "Library Networks and Resource Sharing in the United States," 408.

NAAL leaders to pursue funding outside legislative appropriations as recommended by consultant Norman Stevens in 1983. As such, attaining outside grants throughout its history bolstered NAAL's achievements and stressed improvement of libraries through a centralized approach. Medina observed, "It always amazed me how generous the institutions that seemed to be better supported could be in perhaps delaying their own aspirations as technology evolved and the opportunity to get into things faster if an institution had the money, they still wanted the NAAL program to bring everyone along to the state's benefit."<sup>639</sup> NAAL member institutions planned together for the benefit of Alabama. According to Medina, "they were committed one-hundred percent that this [NAAL] would succeed."<sup>640</sup>

Alabama academic libraries faced ongoing fiscal challenges as research environments evolved to balance "adding new, digital resources and services while maintaining most of the old, traditional resources and services"<sup>641</sup> However, NAAL distinguished itself as an early adopter of networking technology and emphasized standardized bibliographic records to eliminate duplication of materials. NAAL's focus on internal consistency of bibliographic records facilitated the connection between physical and digital objects as technological advances occurred. Medina, too, echoed this perspective in her explanation to Robert Donnell of the University of South Alabama in 1987 that NAAL offered advantage to all member institutions and that enhanced library resources bolstered Alabama's citizens.<sup>642</sup>

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<sup>639</sup> Medina interview.

<sup>640</sup> Ibid.

<sup>641</sup> Denise Troll, "How and Why Libraries are Changing: What We Know and What We Need to Know," University Libraries Research. Paper 64, (2002): 99, [http://repository.cmu.edu/lib\\_science/64](http://repository.cmu.edu/lib_science/64) (accessed December 17, 2012).

<sup>642</sup> Medina, correspondence to Robert Donnell.

For the Cornerstone Project, AlabamaMosaic, ADPNet, and LOCKSS, IMLS emphasis in digitizing local historical items for enhanced access led to grant monies being made available. In 2001, the first IMLS baseline research revealed “pockets of digitization activity and planning that were making library and museum collections widely available.”<sup>643</sup> In 2004, a second study explored specific issues faced by repositories using technology to digitize collections. NAAL applied for and received IMLS grants in 2001 and 2006 to fund the Cornerstone Project stressing access and ADPNet stressing preservation, respectively. The 2006 IMLS status report on technology and digitization included a list of the top goals for digitization projects. The primary goals for 2001 (e.g., increasing interest in the institution, minimizing damage to primary materials, and preserving significant and valuable materials) and 2004 (e.g., increasing access to collections, providing Web-based access to materials, and preserving significant and valuable materials) paralleled initiatives undertaken by NAAL.<sup>644</sup>

### Life Cycle Structure

To promote identification of success factors within the twenty-five-year history of NAAL, this study assessed evidence of network development present in collected oral histories and primary documents. Application of Judith Sharken Simon’s life cycle design for nonprofit organizations allowed for organization of patterned sequences of actions along a timeline. Further, this evaluative framework offered opportunities for describing NAAL’s development process using historical analysis.

An ambitious interest group of university presidents, financial officers, graduate deans, and academic librarians dominated NAAL’s pre-establishment stage between 1980 and 1982. Simon

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<sup>643</sup> Institute of Library and Museum Services, introduction to “Status of Technology and Digitization in the Nation’s Museums and Libraries (January 2006), [http://www.ims.gov/assets/1/AssetManager/Technology\\_Digitization.pdf](http://www.ims.gov/assets/1/AssetManager/Technology_Digitization.pdf) (accessed January 20, 2013).

<sup>644</sup> *Ibid.*, 122.



identifies resourceful leadership and creative options as features of this initial phase. Using conditions at academic libraries as an indicator for higher education, NAAL pioneers focused on the paucity of financial resources available in Alabama. The data presented by the Council of Librarians, advisory to ACHE, prompted consideration of resource sharing and a statewide network of academic libraries. A determined but unstructured gathering of proponents endorsed opportunity in these early years.

Subsequent to determinations identified in the first phase of NAAL's life cycle, focus settled on contemplations of governance and funding. In this brief second stage extending throughout 1983, leaders corralled enthusiasm and applied architecture to considerations of membership, administrations, and programs. Consultant Norman Stevens presented recommendations based on his years of experience working with library consortia in the northeastern United States. Resolute mainstays of library cooperation initiated a network of Alabama academic libraries just fourteen years following the establishment of ACHE.

Practical undertakings of retrospective conversion and collection development at NAAL member libraries distinguished the third phase of the network's development. Simon explained that this phase included stability and considerations of viability for nonprofit organizations. Those who served on the NAAL councils continued to demonstrate perseverance in these formative years between 1984 and 1989 as they supported statewide training of librarians in standardized procedures, publication of the collection assessment manual, and gathering for annual planning retreats to underscore community among NAAL member institutions.

Innovation through advancement and proficiency colored the fourth stage of NAAL's growth within designated parameters of seven to thirty years as defined by Simon. NAAL's years of sustained momentum included committed leadership, dedicated funding, and ongoing activities grounded in advancing technology. The Internet became available for public access in 1991. During

the period from 1990 to 2000, NAAL expanded to include initiatives in artifact preservation, art inventories, expanded membership categories, and digital document delivery.

By 2001, opportunities for access to information statewide grew out of special emphasis on the Alabama Virtual Library (AVL), a grassroots effort orchestrated through administration by NAAL forerunners with support from a myriad of state organizations. Simon characterized the fifth phase of the corporate life cycle as a renewal period. Once the AVL was established, NAAL built upon concepts strengthened in earlier years to promote electronic access to special collections through AlabamaMosaic and digital preservation of archived materials through the Alabama Digital Preservation Network (ADPNet) and “Lots of Copies Keep Stuff Safe” (LOCKSS).

The overlay of a life cycle model enhanced identification of activity patterns during evaluation of evidence pertinent to the emergence, growth, and maturation of NAAL. Application of Simon’s life cycle stages—development, organization, accountability, stability, and innovation—permitted structured navigation through the external and internal events that led to the evolution of a successful network of academic libraries and equitable access to information.

### **Final Observations**

From its inception, the organizational presence of NAAL reinforced network authority and substance. Strategic visibility, frequently orchestrated by Medina, contributed to NAAL’s success. Considerations of programs benefitted each member institution, specifically as a network of academic libraries.<sup>645</sup> NAAL strove to develop an alliance among members to promote “getting things done.”<sup>646</sup> The twenty-five-year timeline included an online union catalog, best practices for statewide collection development, expedited interlibrary loan, a statewide virtual library for all

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<sup>645</sup> Stephens interview.

<sup>646</sup> Vickrey interview.

citizens of Alabama, and digitized collections of the state's unique historical treasures. In setting up governance, NAAL developers focused on providing opportunities for every member's voice to be heard within development of expanded access to global information with an emphasis on the Alabama Virtual Library; historical Alabama resources through statewide participation in the Cornerstone Project and online implementation of AlabamaMosaic as well as improved electronic access to State publications; coordinated sharing of academic library resources, including resource distribution with public libraries in support of the Alabama initiative for economic development in the Black Belt region; sustaining partnerships with state departments and programs to strengthen planning, resources, and services; and collection and monitoring of data related to library accountability and performance.<sup>647</sup>

Reconstruction of oral history offers opportunity for rich interpretation of subjective meanings of past events. This study captured structured interviews and targeted identification of success factors in the twenty-five-year history of NAAL. Prepared research questions presented as open-ended inquiries allowed for spirited, unscripted responses from participants. These oral interviews, triangulated with published secondary sources and unpublished primary documentation emphasized significant factors identified in NAAL's history.

As such, against a backdrop of advanced technology and hybrid funding, inventive leadership and collective impetus loom large as critical components in the corporate life cycle in NAAL's longstanding success. Throughout her career as Executive Director of NAAL, Medina emphasized the spirit of librarians statewide: "I think it all comes down to their shared vision—a willingness to work together on a common goal."<sup>648</sup> She affirmed that the principal focus of NAAL has been to eliminate political, financial, physical, and technological barriers that prevent students

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<sup>647</sup> Network of Alabama Academic Libraries, Fiscal Year 2004 Annual Plan, 4-6. Stephens papers.

<sup>648</sup> Communication with Sue Medina (August 19, 2012).

and other users from obtaining needed information.”<sup>649</sup> As a strategy in fulfilling its mission over a span of twenty-five years, NAAL encouraged a dedicated statewide library community to protect and expand equitable access to information. The network succeeded in garnering educational, public, and archival support to promote the state’s advancement. This overarching strategy encouraged NAAL’s internal cultural of flexibility and limitless considerations of digital landscapes. Alabama’s diverse publics require increasing capacity and resources to promote lifelong learning and success in a contemporary information and knowledge-based society.

### Implications for Future Study

Facets of NAAL’s history include social, cultural, economic, and political considerations. Complexities abound and opportunities for interdisciplinary historical research continue. No single interpretation can provide a complete presentation of NAAL. The network’s history presents a rich opportunity for a study of public relations and relationship building and management in the state of Alabama with special emphasis on Medina’s leadership. Because of geographic limitations, the voice of longtime NAAL authority Fred Heath is absent from this study. A detailed analysis of his perspective would provide further evidence about the development of NAAL. Biographies of important contributors to NAAL would also add to the understanding of progress of library collaborative efforts.

Exploration of NAAL financial reports, listserv postings (originated in 1996), and evolving expectations about technology, libraries, and information access would provide another dimension to maturation of the network in Alabama.<sup>650</sup> An additional follow-up study could evaluate *LibQual+*

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<sup>649</sup> “Network of Alabama Academic Libraries Fiscal Year 2004 Annual Plan,” from Nov. 13, 2003, Meeting of the Executive Council, Attachment C. Stephens papers.

<sup>650</sup> Stephens encouraged conducting of further historical investigations using NAAL financial reports as primary evidence. The Pew Internet and American Life Project provided ongoing research on the impact of technology on libraries and information access.

library services assessment results from 2003 until 2013 for NAAL member institutions to trace library accountability and user satisfaction related to academic library resources and services.<sup>651</sup> The focus of this research could be centered on outcomes derived from expanded access to resources in Alabama. Contemporary comparative evaluations for library networks in other states would also contribute to the expanding body of knowledge.

Investigation of the significant role of Senator Lister Hill Proctor and tracings of federal legislation in a nascent NAAL would provide additional opportunity for intriguing historical perspective. Emphasis continues, too, for explorations of trends in professional development for practicing academic librarians and in training for new librarians within an environment that stresses increased collaboration among institutions and digitization of collections.

The physical space in libraries continues to evolve to accommodate research needs, and the library networks on building planning factors warrants study. Libraries allocate less space for physical collections as electronic access gains traction. Growth in group study encourages flexible design. Capture of evidence through user reflections and library planners over a defined period of time would point to popular as well as effective and efficient uses of space. Complementary case studies for bibliographic instruction could serve as reinforcement. Finally, Columbia University and Cornell University academic libraries announced integration of their technical services departments as a new initiative growing out of their 2CUL project, initiated in 2009.<sup>652</sup> Future investigative considerations might include possible implications for similar joint initiatives among Alabama academic libraries.

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<sup>651</sup> Arneson and Hubbard explained that NAAL institutions began participating in the *LibQual+* assessment of service quality in 2003.

<sup>652</sup> Communication with Louis A. Pitschmann, Dean, University Libraries, University of Alabama, January 21, 2013. Pitschmann suggested including this discussion topic at the NAAL 2013 annual planning retreat. See also “Cornell and Columbia Libraries to Build a Joint Technical Infrastructure: Mellon Grant Enables 2CUL Partnership to Combine Technical Services Departments,” <http://news.library.cornell.edu/news/130116/2cul> (accessed January 21, 2013).

The challenge to contribute meaningful research in explorations of NAAL and related programs continues. Ongoing equitable access to information requires commitment to collaboration and application of best practices supported through dedicated consideration from participating institutions, legislators, and the public in Alabama.

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## Appendix A

### Oral History Participants<sup>653</sup>

<b>Interview Date</b>	<b>Name</b>	<b>Interview Location</b>
November 16, 2011	James Vickrey	Montgomery, Alabama
November 17, 2011	Elizabeth French	Montgomery, Alabama
November 21, 2011	Jerry Stephens	Birmingham, Alabama
November 23, 2011	Neil Snider	Northport, Alabama
December 5, 2011	Anthony Miele	Madison, Alabama
December 8, 2011	William Highfill	Auburn, Alabama
August 9, 2012	Sue Medina	Montgomery, Alabama

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<sup>653</sup> To assist in the author's selection process, Sue Medina kindly submitted a list of potential participants for collection of oral histories. In consideration of the author's time and budgetary constraints, only those currently residing in the state of Alabama received initial letters of inquiry. One-time interviews were targeted to last from sixty to ninety minutes.

Appendix B

Institutional Review Board (IRB) Approval Documentation

October 26, 2011

Office for Research

Institutional Review Board for the  
Protection of Human Subjects

THE UNIVERSITY OF  
**ALABAMA**  
R E S E A R C H

Ann Bourne  
College of Communication & Information Sciences  
The University of Alabama  
Box 870172

Re: IRB # 11-OR-314, "Enriching the Collective Resources: An  
Historical Analysis of the Network of Alabama Academic Libraries, 1984-  
2009"

Dear Ms. Bourne:

The University of Alabama Institutional Review Board has granted  
approval for your proposed research.

Your application has been given expedited approval according to 45 CFR  
part 46. Approval has been given under expedited review category 7 as  
outlined below:

*(7) Research on individual or group characteristics or behavior  
(including, but not limited to, research on perception, cognition,  
motivation, identity, language, communication, cultural beliefs or  
practices, and social behavior) or research employing survey, interview,  
oral history, focus group, program evaluation, human factors evaluation,  
or quality assurance methodologies.*

Your application will expire on October 25, 2012. If the study continues  
beyond that date, you must complete the IRB Renewal Application. If you  
modify the application, please complete the Modification of an Approved  
Protocol form. Changes in this study cannot be initiated without IRB  
approval, except when necessary to eliminate apparent immediate hazards  
to participants. When the study closes, please complete the Request for  
Study Closure form.

Should you need to submit any further correspondence regarding this  
application, please include the assigned IRB application number.

Good luck with your research.

Sincerely,



Stuart Usdan, Ph.D.  
Chair, Non-Medical IRB  
The University of Alabama

358 Rose Administration Building  
Box 870127  
Tuscaloosa, Alabama 35487-0127  
(205) 348-8461

FAX (205) 348-7189

TOLL-FREE (877)-820-3066

IRB Project # : \_\_\_\_\_

SEP 16 2011 PM 02:26

UNIVERSITY OF ALABAMA  
INSTITUTIONAL REVIEW BOARD FOR THE PROTECTION OF HUMAN SUBJECTS  
REQUEST FOR APPROVAL OF RESEARCH INVOLVING HUMAN SUBJECTS

I. Identifying information (to be completed by Principal Investigator):

Principal Investigator(s): Ann Bourne

If PI is a student, Faculty Advisor: Dr. Elizabeth Aversa

Department/College: College of Communication & Information Sciences

Address: The University of Alabama, 440 Reese Phifer Hall

Telephone: 205-348-4723

FAX:

E-mail: abourne@ua.edu

Title of Research Project: "Enriching the Collective Resources": An Historical Analysis of the Network of Alabama Acad

Date Submitted: September 16, 2011

Funding Source: n/a

Type of Proposal:  New  Revision or supplemental material  Renewal (attach Renewal Application)

II. NOTIFICATION OF IRB ACTION (to be completed by IRB):

Type of Review: \_\_\_\_\_ Full board  Expedited

IRB Action:

Approved—this proposal complies with University and federal regulations for the protection of human subjects.

Approval is effective until the following date: 10/25/2012

Items approved:  Research protocol (dated 10/26/11)

Informed consent (dated 10/26/11)

Recruitment materials: \_\_\_\_\_

Other: \_\_\_\_\_

\_\_\_\_\_ Revisions requested—see attached pages for needed revisions.

\_\_\_\_\_ Disapproved—see attached paged for reasons for disapproval.

Approval signature \_\_\_\_\_

Date 10-27-11

August 6, 2012

Office for Research  
Institutional Review Board for the  
Protection of Human Subjects

THE UNIVERSITY OF  
**ALABAMA**  
R E S E A R C H

Ann Bourne  
College of Communication & Information Sciences  
The University of Alabama  
Box 870172

Re: IRB # 11-OR-314-R1 "Enriching the Collective Resources: An  
Historical Analysis of the Network of Alabama Academic Libraries, 1984-  
2009"

Dear Ms. Bourne:

The University of Alabama Institutional Review Board has granted approval for your renewal application.

Your renewal application has been given expedited approval according to 45 CFR part 46. Approval has been given under expedited review category 7 as outlined below:

*(7) Research on individual or group characteristics or behavior (including, but not limited to, research on perception, cognition, motivation, identity, language, communication, cultural beliefs or practices, and social behavior) or research employing survey, interview, oral history, focus group, program evaluation, human factors evaluation, or quality assurance methodologies.*

Your application will expire on August 5, 2013. If your research will continue beyond this date, complete the relevant portions of the IRB Renewal Application. If you wish to modify the application, complete the Modification of an Approved Protocol Form. Changes in this study cannot be initiated without IRB approval, except when necessary to eliminate apparent immediate hazards to participants. When the study closes, complete the appropriate portions of the IRB Study Closure Form.

Should you need to submit any further correspondence regarding this proposal, please include the above application number.

Good luck with your research.

Sincerely,



358 Rose Administration Building  
Box 870127  
Tuscaloosa, Alabama 35487-0127  
(205) 348-8461  
FAX (205) 348-7189  
TOLL FREE (877) 870-3066

Carpantano T. Myles, MS, M, CIM  
Director & Research Compliance Officer  
Office for Research Compliance  
The University of Alabama

IRB Project # : 11-OR-314-R1

UNIVERSITY OF ALABAMA  
INSTITUTIONAL REVIEW BOARD FOR THE PROTECTION OF HUMAN SUBJECTS  
REQUEST FOR APPROVAL OF RESEARCH INVOLVING HUMAN SUBJECTS

I. Identifying information (to be completed by Principal Investigator):

Principal Investigator(s): Ann Bourne

If PI is a student, Faculty Advisor: Dr. Elizabeth Aversa

Department/College: College of Communication & Information Sciences

Address: The University of Alabama, 440 Reese Phifer Hall

Telephone: 205-348-4723

FAX:

E-mail: abourne@ua.edu

Title of Research Project: "Enriching the Collective Resources": An Historical Analysis of the Network of Alabama Acad

Date Submitted: September 16, 2011

Funding Source: n/a

Type of Proposal:  New  Revision or supplemental material  Renewal (attach Renewal Application)

II. NOTIFICATION OF IRB ACTION (to be completed by IRB):

Type of Review:  Full board  Expedited

IRB Action:

Approved—this proposal complies with University and federal regulations for the protection of human subjects.

Approval is effective until the following date: 8-5-13

Items approved:  Research protocol (dated \_\_\_\_\_)

Informed consent (dated \_\_\_\_\_)

Recruitment materials: \_\_\_\_\_

Other: \_\_\_\_\_

Revisions requested—see attached pages for needed revisions.

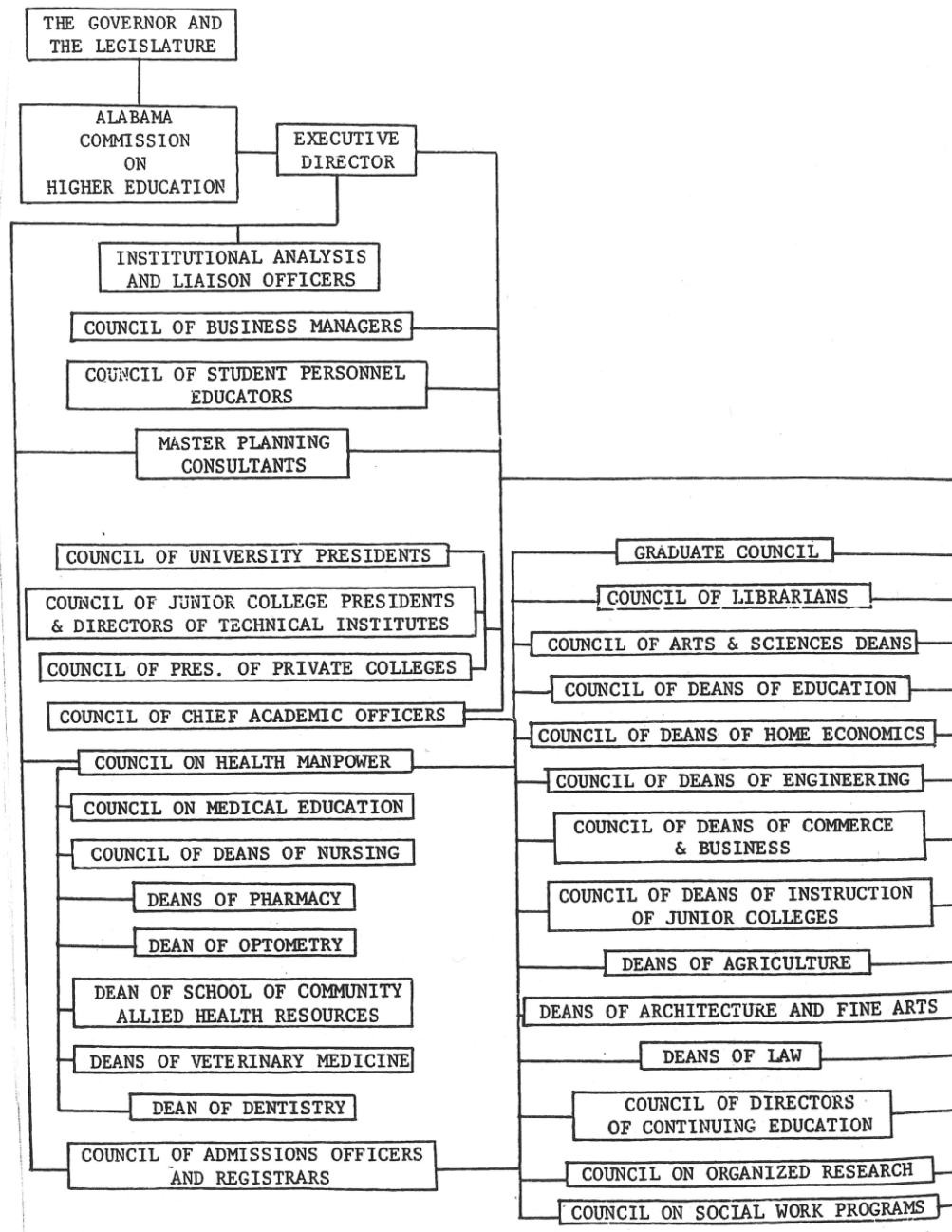
Disapproved—see attached paged for reasons for disapproval.

Approval signature \_\_\_\_\_

Date 8/7/2012

Appendix C

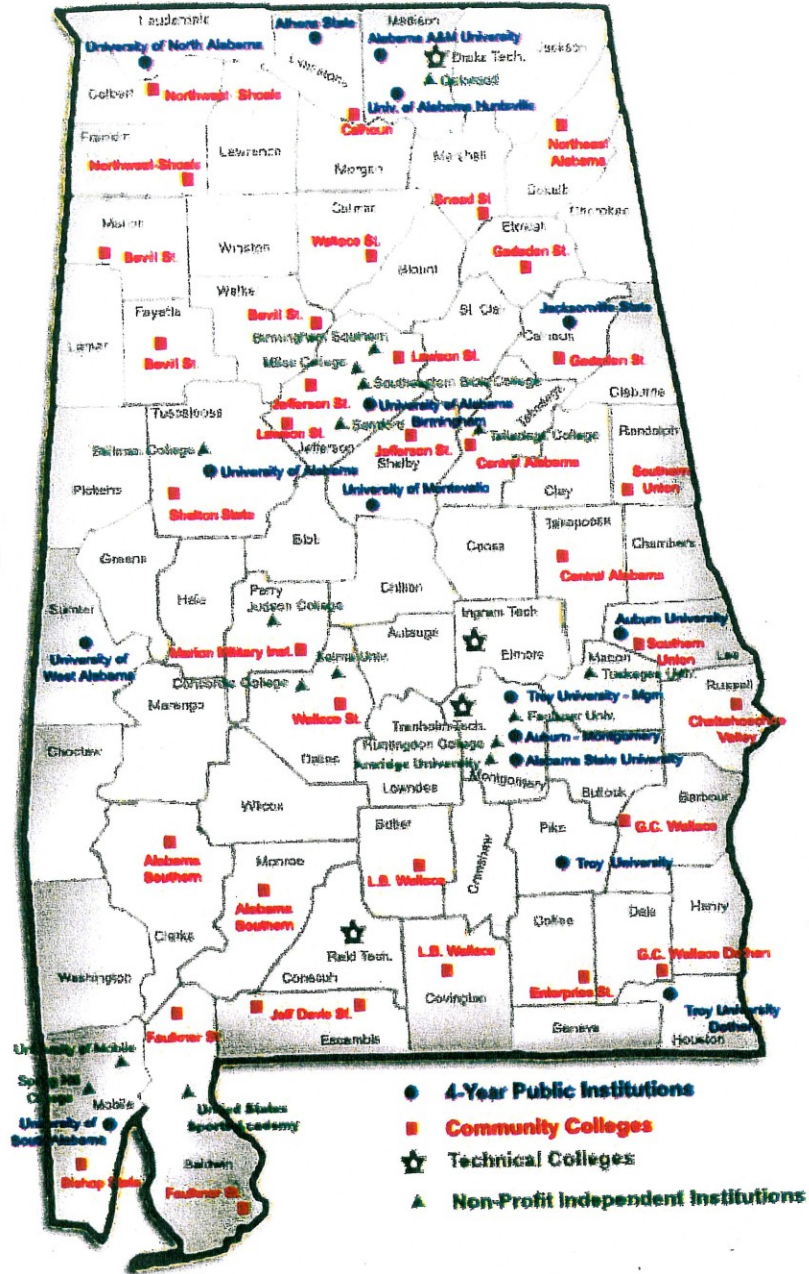
Alabama Commission on Higher Education (ACHE) Councils, 1973



Source: Graphic from Alabama Commission on Higher Education, Council of Librarians. *Cooperative Library Resource Sharing among Universities Supporting Graduate Study in Alabama.*

## Appendix D

### Alabama Institutions of Higher Education



Source: Graphic from <http://www.ache.state.al.us/CommissionMeetings/PastAgendas/Agenda-March-11-2011.pdf> (accessed August 3, 2012).



## Appendix E

### Education Trust Fund Proration

<b>Fiscal Year</b>	<b>Proration %</b>
1979	3.0%
1980	6.1%
1981	3.6%
1986	4.2%
1991	6.5%
1992	3.0%
2001	6.2%
2003	4.4%
2008	6.5%
2009	18.0%
2010	9.5%

*Source:* Data from Legislative Fiscal Office, *Budget Fact Book* (FY 2011), <http://www.lfo.state.al.us/pdfs/FY%202011%20Budget%20Fact%20Book.pdf> (accessed September 8, 2012). Expenses attached to funds without sufficient revenues must be prorated as per Amendment 26 of the 1901 Alabama Constitution.

## Appendix F

### NAAL Participants

	Benefits and Responsibilities	General	Cooperative	Affiliate
Establishment	Legally established as Alabama academic institution	Yes	N/A	Yes
	Legally established as publicly supported or private nonprofit Alabama academic institution offering graduate education or acknowledged as state agency providing statewide leadership or recognized Alabama research library maintaining research-level collection	N/A	N/A	N/A
Non-Profit Status	Publicly or privately supported academic institution certified by U.S. Internal Revenue Service as meeting tax exemption requirements of Chapter 501(c)(3) of U.S. Code	Yes	N/A	N/A
Accreditation	Authorized by Commission on Colleges of Southern Association of Schools and Colleges (SACS)	Yes	N/A	Yes
	Authorized to award baccalaureate degrees	Yes	N/A	N/A
Degree-Awarding Status	Authorized to offer four academic years of instruction culminating in award of baccalaureate degrees	Yes	N/A	Yes
	Authorized to award graduate degrees (publicly supported academic institutions)	Yes	N/A	N/A
	Authorized to award graduate degrees (privately supported academic institutions)	Yes	N/A	N/A
	Required to maintain documentation verifying research-level collection	Yes	N/A	N/A
	Required to maintain documentation verifying research-level collection or statewide library/archival services	N/A	Yes	N/A
Voting Representation	Authorized to participate in Alabama Student Grant Program	N/A	N/A	Yes
	Required to appoint voting representative to Advisory Council	Yes	N/A	N/A
Initial Membership Fee	Required to appoint non-voting representative to Advisory Council	N/A	Yes	N/A
	Required to pay initial membership fee	Yes	N/A	N/A
Bibliographic Database	Required to fund and maintain OCLC membership	Yes	No	No
	Required to add records/holdings to OCLC for all circulating materials	Yes	No	No
Continuing Education	Required to add records/holdings to OCLC for all current acquisitions	Yes	No	No
	Required to add records/holdings to OCLC for all current acquisitions	Yes	No	No
Digital Content	Required to add records/holdings to OCLC for all current acquisitions	Yes	Yes	Yes
	Elective participation in NAAL-sponsored workshops	Yes	Yes	Yes
Resource Sharing	Elective participation in Alabama Mosaic	Yes	Yes	Yes
	Elective participation in Alabama Digital Preservation Network (ADPNet)	Yes	Yes	Yes
Online Content	Mandatory participation in Resource Sharing Program, including:	Yes	No	No
	Lending to other NAAL participants without charge:	Yes	No	No
	Waiving ILL fees for students with charges recovered from non-NAAL Libraries	Yes	No	No
	Expedited lending items to other NAAL participants	Yes	No	No
	Using OCLC to place and manage ILL items	Yes	No	No
	Transmitting materials duplicated for ILL electronically	Yes	No	No
	Using NAAL-subsidized delivery serve to expedite shipping original items for ILL (optional)	Yes	Yes	Yes
	Encouraged to provide no-fee lending to Alabama public libraries	Yes	Yes	Yes
	Elective participation in NAAL Online Content Program	Yes	Yes	Yes
	Elective funding and subscription to NAAL-licensed databases	Yes	Yes	Yes
	Eligibility for partial subsidy for database subscriptions	Yes	No	Yes
	Optional use of NAAL office for database license negotiations	Yes	Yes	Yes
Optional participation in Alabama Virtual Library with IP authenticated Access, subject to eligibility determination by Alabama Commission on Higher Education (ACHE).	Yes	Yes	No	Yes

Source: Data adapted from Sue Medina, "Benefits and Responsibilities of NAAL Participants,"

<http://alabamaacademiclibraries.pbworks.com/w/page/1666877/Benefits%20and%20Responsibilities%20of%20Participants> (accessed January 14, 2013).

## Appendix G

### Graduate Degrees Conferred, 1985-2009 Alabama Four-Year Institutions

Year	Master's <i>Public</i>	Master's <i>Private</i>	Doctoral <i>Public</i>	Doctoral <i>Private</i>
1985	3,474	218	264	---
1986	3,436	230	259	6
1987	3,681	198	279	---
1988	4,009	195	289	---
1989	4,021	210	341	---
1990	4,312	230	354	---
1991	4,936	239	290	---
1992	5,372	292	373	---
1993	5,424	306	404	---
1994	5,624	306	474	---
1995	5,959	290	435	---
1996	6,421	360	531	---
1997	6,547	412	555	---
1998	6,173	381	555	---
1999	6,644	422	484	16
2000	6,659	419	519	3
2001	6,543	378	492	7
2002	6,654	501	482	35
2003	6,775	417	528	32
2004	7,260	371	479	21
2005	8,009	430	529	26
2006	7,970	396	553	32
2007	7,480	494	685	24
2008	7,898	477	748	25
2009	8,168	431	751	15

*Source:* Data adapted from reports entitled “Baccalaureate and Higher Completions Conferred by Level of Degree and Control of Institution: Alabama Four-Year Institutions,” included in “ACHE Statistical Abstracts—Scanned,” <http://www.ache.alabama.gov/Reports/Index.htm> (accessed April 25, 2013).

## Appendix H

### Resolution to Support Documenting the History of The Network of Alabama Academic Libraries

Whereas, The Network of Alabama Academic Libraries was created to support research,  
and,

Whereas, since its inception, NAAL has become an exemplary model of innovation, and,

Whereas, Ann Bourne, a doctoral student at The University of Alabama in the College of  
Communication and Information Science, has proposed to document the creation and  
evolution of NAAL's history of success;

Therefore let it be resolved that The Network of Alabama Academic Libraries appreciates  
her commitment and pledges its assistance for successful completion of her research.

*Submitted to the NAAL Advisory Council at their meeting on October 28, 2010*