

The AAU/ARL Global Resources Program – Phase II:
Discussion Document on Goals, Priorities,
Operating Principles, Budget Requirements, and Desired Outcomes.

Introduction.

The Association of Research Libraries and the Association of American Universities have since 1996 hosted the Global Resources Program. This initiative originated in response to widespread concern that North American libraries were acquiring fewer and fewer of the research resources produced in other parts of the world. The stated goals of GRP-I, however, went beyond more intensive acquisitions by focusing on “improving access to international research materials through cooperative structures and the use of new technologies, and ... generating increased communications with the scholarly community regarding future information needs.”

The Global Resources Program has asserted its presence in many conferences and forums concerned with both library resources and international studies, as well as through its reports and publications. It has also become closely involved with what are now seven different projects, each associated with a specific world area. The Association of Research Libraries has provided staff backing and moral support for GRP as a whole. ARL has also administered the Program’s grant funds, part of which have been used to nurture new projects. Each project has established its own procedures and goals.

Shifts in GRP staffing and financial support make this an appropriate moment to revisit its principles and priorities. The purpose of this paper is to initiate a discussion process leading to a formal consensus by the leadership of ARL and AAU around a renewed Global Resources vision and mandate.

1. Purpose.

The Global Resources Program, a joint initiative of the Association of American Universities and the Association of Research Libraries, was created in order to ensure that North American students and scholars enjoy continuing, comprehensive, and fluid access to the international research resources necessary for teaching and research. The Program is concerned with information resources regardless of format or type. It encourages mechanisms to utilize materials held at remote locations as well as local acquisitions. Its insistence on continuity means that global research resources should remain available in a range of appropriate formats through the foreseeable future. Its primary goal is to enhance current and future scholarship through measurable improvements in the availability and active integration of international information for learning and research. Cooperative, coordinated, policy-based measures are essential in meeting this goal.

The Association of Research Libraries and the Association of American Universities, as co-sponsors of the Global Resources Program, carry joint responsibility to publicize the Program, define its priorities and goals, and enlist the support of other agencies and groups. ARL, in administering the Program, provides staff, logistical, and financial support.

The Global Resources Program addresses its mandate through several lines of activity. These include:

-GRP fosters cooperative and coordinated responses among research institutions in order to maximize the availability of international resources within the North American academic community.

-GRP tracks the current and potential future demand for international information resources by following trends in research agendas, shifts in the status and primary concerns of academic and professional programs, the priorities of agencies and organizations active in the international arena, and the perceptions of informed individuals.

-GRP maintains an inventory of cooperative initiatives that focus on improved access to global information, also listing appropriate individual efforts by both scholars and librarians. Commercial endeavors are not included, and the inventory does not now include activities that have concluded.

-GRP serves as a clearinghouse for models of successful projects and for project “best practices”—particularly those associated with the creation of distributed and interdependent scholarly information resources that are available rapidly and without restriction via cost-effective means of digital or physical delivery.

-GRP supports projects deemed of particular strategic value, in accordance with the criteria outlined in Section 4, below.

-GRP sponsors new projects of particular strategic value, again in accordance with the criteria outlined in Section 4.

-GRP develops collaborative relationships and, where appropriate, partnerships with other organizations and agencies sharing similar goals.

-GRP seeks out and also creates opportunities to inform the community on the activities of the Program as a whole, the projects it sponsors or supports, and “affiliated projects” (see Section 2, below). It promotes awareness of the circumstances that have made these projects necessary. It advocates in favor of new initiatives in support of international resources.

-GRP participates as appropriate in more general scholarly and library initiatives insofar as they impinge upon global information resources and international scholarship. The potential areas of concern include, among many others, copyright and intellectual property, interlibrary loan and resource sharing, and training for new generations of specialist librarians.

-GRP pursues grant funds with which to carry out all these activities.

-GRP periodically assembles representative groups of scholars, administrators, and librarians engaged with international scholarship in order to assess its progress in substantially improving their access to international information.

2. Governance and Structure.

The Global Resources Program's goals and priorities are established by ARL's Board of Directors in collaboration with the Association of American Universities. The Program draws upon ARL's Collections Committee for advice and guidance. GRP is assisted in identifying possibilities and priorities by an Advisory Committee that reflects a broad range of "global resource" constituencies. The Advisory Committee, which serves as a critical conduit for communications between the academic community and GRP, is appointed by the ARL Executive Committee with the advice of the AAU Executive Officer and ARL's Executive Director. GRP is managed by ARL program staff who report to ARL's Executive Director.

The Global Resources Program provides an organizational umbrella for a variety of international projects and activities. Some of these initiatives depend directly upon the Program or rely on services provided through ARL. Others are entirely independent. While GRP aspires to speak for a broad range of international initiatives, its strongest links remain with the projects that it has sponsored or supported. These projects are routinely consulted by GRP staff as the Program's agenda is planned and refined. But GRP also adds value both to individual projects and to the overall international information effort through its linkages with as many activities as possible.

Individual projects can associate with the Global Resources Program in several different ways:

- Projects that GRP sponsors or supports have direct reporting relationships to the Program. These lines will shift as the projects mature, reflecting ARL's overall policy of avoiding long-term operational commitments. The criteria for GRP's initial sponsorship or support of new projects are listed in Section 4, below.

- Autonomous initiatives can request "affiliated project" status, enabling them to cite GRP in their own literature and proposals and, in turn, allowing GRP to include them within the constituency for which it speaks. The "affiliated project" designation does not imply AAU, ARL, or GRP approval of or involvement in project activities. This designation may be withdrawn upon evidence of project practices inimical to the spirit and goals of GRP. Projects can likewise request that this designation be terminated.

- GRP's inventory of global initiatives also includes unaffiliated projects which have been identified by project staff or others. These projects will be invited to provide additional information and to affiliate with the Program, subject to the criteria described above. Unaffiliated projects will only be included in the GRP inventory following direct contact to confirm their current level of activity.

Projects that once enjoyed GRP sponsorship or support but have then become independent, never achieved concrete results, or focused on activities that are deemed inconsistent with the primary goals of GRP, may lose their "sponsored by" or "supported by" status in either of two ways. Projects may request this shift on their own. The change may also be initiated within GRP, upon the recommendation of the Advisory Committee. Projects that currently receive GRP sponsorship or support, but either fail to achieve concrete results or pursue activities deemed inconsistent with GRP's primary goals, are subject to termination of the sponsorship or support. This measure will be taken upon the Advisory Committee's recommendation. Discussions to develop new strategies and goals will precede this procedure.

3. Finances.

GRP’s basic activities require staff support; provisions for reports, meetings, and representation within ARL; staff participation in outside meetings and conferences; and some capacity to sponsor or support specific projects. Core funding for this basic infrastructure (currently provided through library pledges totalling \$80,000 during this transition year) will be defined based on the ambitions of the program and generated through membership support. GRP, through ARL, can apply for and/or participate in grants and other funding programs in order to supplement its core funding and to support additional activities. Projects relying on GRP or ARL for logistical or other support services will also be charged accordingly, though “seed funds” available through GRP may in some cases cover these costs. GRP will not charge the projects it sponsors or supports as a means to fund its own activities.

GRP’s Advisory Committee, the ARL Collections Committee, and ARL’s Board of Directors together advise on GRP priorities. ARL staff manages the GRP budget. The ARL Board of Directors provides oversight and assessment of the budget as part of its ongoing reviews of ARL’s financial condition. GRP support for specific projects, including expenditures, is reviewed on a regular basis by the Advisory Committee.

Ongoing budgetary requirements are difficult to anticipate in advance of consensus concerning GRP’s activities and goals. The following expense scenario for years 1 through 3 assumes a 40% FTE Program Officer at ARL with the associated logistical and staff support, an active program of participation in ARL activities as well as external meetings and conferences, and start-up funding support for one new area or thematic project in each of GRP-II’s initial three years. This hypothetical budget omits operating costs for ongoing GRP projects, for which policy decisions are not yet in place:

	<u>Transition Year*</u>	<u>Year 1</u>	<u>Year 2</u>	<u>Year 3</u>
-Project coordination:**	\$40,000	\$60,000	\$63,000	\$66,500
-Conferences and meetings:				
ARL and Advisory				
Committee meetings:	\$15,000	\$10,000	\$10,500	\$11,025
“External” meetings:	\$25,000	\$15,000	\$15,750	\$16,540
-Project development:	--	\$40,000	\$20,000	\$10,000
(per project)***			40,000	20,000
				40,000
Total:	\$80,000	\$125,000	\$149,250	\$164,065

* Project coordination during the transition year includes a 20% FTE “Visiting Program Officer” plus logistical and staff support.

** The “Project coordination” and “Conferences and meetings” lines assume 5% annual inflation.

*** The three most solidly established GRP projects (Latin America, South Asia, German Resources) respectively required \$156,000, \$62,700, and \$35,000 in start-up costs over their first

three years. These funds were raised through buy-in fees of \$3,000 per institution plus \$60,000 of targeted foundation support (LARRP), foundation support (German Resources Project), and direct GRP support (DSAL). All three projects subsequently raised money on their own. The budget's "project development" line therefore suggests the overall support necessary for a typical project (if such exists) to become rooted. Sources for start-up funding are not necessarily limited to ARL.

The first new GRP-II project is likely to center on the Middle East, reflecting strong and ongoing interest among scholars, administrators, and area librarians.

4. Project Support and Sponsorship.

GRP and its Advisory Committee will routinely identify topics and areas for which access to international information is deemed problematic. These potential priorities will be discussed by GRP's Advisory Committee and, as appropriate, by the other constituencies named under "Governance and Structure." The result will be a ranked list of areas and topics to explore for new projects. GRP will then search for potential project "champions" and for ways to energize potential project constituencies around values and goals that are practical, shared, and useful to the scholarly community. Programmatic guidance and seed money, as appropriate, will be offered as well.

GRP's sponsorship and support for projects will be based on the following criteria:

1. These projects should respond to needs emerging from the academic community. Assessing these needs will require thoughtful approaches to avoid simply reproducing the departmental and disciplinary divisions through which most universities organize their international activities. Thus, for instance, medical, law, and business school constituencies should be monitored, as well as area studies centers and language/literature departments.
2. These projects should demonstrate that their proposed activities will address needs identified by users, and/or anticipate future needs that have not yet been articulated. The projects should produce useful outcomes for scholarship.
3. These projects should demonstrate solid prospects for early success through the presence of one or more "champions"—individuals with the energy, knowledge, and political skills to create and sustain momentum—, and also a critical mass of potential participants.
4. These projects, whenever possible, should demonstrate good chances for long-term scalability and sustainability. Plausible business plans and promising prospects for external support are part of this picture.
5. These projects, whenever possible, should rely on standardized procedures and innovative technologies that draw upon the emerging modalities of digital access. They should avoid "boutique" products that are available only to a small audience or on a limited basis.
6. These projects, whenever possible, should encourage international partnerships and cooperation.

7. These projects, whenever possible, should include both faculty members and library or university administrators on their governing committees.

Projects sponsored or supported by GRP are free to raise funds, form partnerships, and otherwise pursue their goals.

5. Program Outcomes and Evaluation.

The Global Resources Program will be assessed in terms of the following criteria:

- its success in stimulating projects and pursuing complementary activities that scholars, administrators, and librarians perceive as substantively improving access to international resources in support of learning and research. Assessments will reflect constituent perceptions as well as tangible measurements of interlibrary loan transactions, acquisition levels, leveraging of investments, and the like.

- its ability to heighten awareness, mobilize constituencies, and build coalitions to address global resource needs.

- its ability to collect and share information on projects, standards, and best practices related to international information resources.

- its ability to stimulate projects that imaginatively address critical international information needs.

- its overall and strategic impact on North American access to international and foreign-language resources.

GRP's performance with regard to each of these criteria, plus others that may be added in the future, will be measured annually through formal reviews conducted by GRP's Advisory Committee and ARL's Collections Committee in conjunction with ARL staff. The reviews will result in written reports and recommendations for the ARL Board of Directors and the Association of American Universities.

ARL and AAU will sponsor, fund, and staff the "second phase" of the Global Resources Program, as described in this document, for an initial term of three years beginning 1 July, 2003. Further continuity and support will be subject to additional joint reviews at successive three year intervals.

6. Roles and Responsibilities for the Global Resources Program.

The ARL Board:

- establishes goals with advice from the AAU Executive Officer and the ARL Executive Director
- provides oversight and assessment of the GRP budget as part of its ongoing review of ARL's financial condition
- reviews program progress and proposed priorities as part of the annual ARL program review

The Research Collections Committee (comprised of library directors):

- provides programmatic advice and guidance
- conducts annual program assessments
- contributes to ongoing program assessment in reports to the ARL Board, particularly with regard to GRP's impact on local strategies for collection development and management

The GRP Advisory Committee (comprised of faculty members, university leaders, library directors, and collection specialists):

- identifies possibilities, priorities, and desired outcomes for GRP, as well as funding options and opportunities for strategic alliances
- serves as a channel to ensure that scholars' requirements and concerns remain in the forefront of the GRP agenda
- reviews GRP support for specific projects
- contributes to ongoing program assessment in reports to the ARL Board, particularly with regard to GRP's impact as a strategic initiative to strengthen North American scholars' access to international and foreign language resources.

The GRP Program Director (appointed by ARL's Executive Director):

- advances the Program by means of discussions, promotional activities, communications, and other initiatives
- manages the GRP budget, wherever possible leveraging internal funds to gain additional support
- explores and pursues opportunities for external funds

The Executive Director of ARL:

- sustains communications with the Association of American Universities
- reviews GRP expenditures as part of regular reviews of ARL's financial condition
- appoints and evaluates the GRP Program Director
- provides advice and counsel to the GRP Program Director

Dan Hazen
17 September, 2002