DOCUMENT RESUME

ED 361 004	IR 054 698
TITLE	The Leadership Role in Library Fund Raising. Minutes of the Membership Meeting of the Association of Research Libraries (120th, Charleston, South Carolina, May 13-15, 1992).
INSTITUTION	Association of Research Libraries, Washington, D.C.
REPORT NO	ISSN-0044-9652
PUB DATE	93
NOTE	181p.; Title on cover page reads "Minutes of the 120th Meeting."
AVAILABLE FROM	Association of Research Libraries, 21 Dupont Circle, Washington, DC ($25 for members; $35 for non-members; $45 standing order price for semiannual minutes for members; $70 standing order price for semiannual minutes for non-members).
PUB TYPE	Collected Works - Conference Proceedings (021)
EDRS PRICE	MF01/PC08 Plus Postage.
DESCRIPTORS	Academic Libraries; Conference Proceedings; Decentralization; Financial Support; *Fund Raising; Higher Education; Institutional Advancement; *Leadership; *Library Administration; Library Associations; Library Collection Development; *Library Development; Library Expenditures; Meetings; Operating Expenses; Research Libraries; Teacher Attitudes
IDENTIFIERS	*Association of Research Libraries; Library Directors; *Library Funding

ABSTRACT

The "Leadership Role in Library Fund Raising" was selected as the program theme for the 120th meeting of the Association of Research Libraries (ARL) to call attention to the changing scene of fund raising in higher education. Session 1 set the stage with an overview of the leadership role of library fund raising in the context of the institution as a whole. Program Session 2 convened a panel of four directors to focus on fund raising and the expectations of the library director, and Session 3 conducted a panel on the design and implementation of library development programs. In addition to the panel discussions, the following papers are presented: (1) "The Decentralization of Development: Impact on Power, Priorities, and Faculty Perceptions" (Margaret R. Hall); (2) "An Organizational Approach to Cooperative Campaigns" (David Olien); (3) "Finding and Fashioning a Fund Raising Style/Designing a Development Strategy" (Victoria Steele and Stephen D. Elder); (4) "Serials Prices: Issues and Strategies" (Donald W. Koepp); (5) "The Association of American Universities and a Research Libraries Agenda" (John Vaughn); (6) "Results of Quick-SPEC Survey on Fund Raising" (Lynda Claassen); (7) "Essential Components of a Library Development Program" (Joan M. Hood); (8) "Library Development as Part of the Overall Strategic Planning Process" (Barbara I. Dewey); (9) "Developing a Working Relationship between the Director and the Development Officer" (Donald Riggs); and (10) "Innovative Strategies for Raising Money" (Victoria Steele). Five appendixes provide details about the association and its finances. (SLD)

Minutes of the 120th Meeting

May 13-15, 1992
Charleston, South Carolina

Association of Research Libraries

ISSN 0044-9652

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The Leadership Role in Library Fund Raising

120th Membership Meeting
Association of Research Libraries

Charleston, South Carolina
May 13-15, 1992

Arthur Curley, *Presiding*

The *Minutes of the Meetings* are published semiannually by the
Association of Research Libraries
21 Dupont Circle
Washington, DC 20036

Standing Order Price:
ARL Members: $45.00 per year
All Others: $70.00 per year

Issues are also available individually:
ARL Members: $25.00
All Others: $35.00

Edited by
Diane Harvey
Lallie Dawson Leighton

Library of Congress Cataloging-in-Publication Data

Association of Research Libraries.
Minutes of the meeting. 1st-
Dec. 1932-
[Princeton, N.J., etc.]
v. 28 cm.
Meetings are numbered irregularly: 9th-10th, 12th called
respectively: 10th-11th, 13th.
INDEXES:
Subject index.
1st-42d, Dec. 1932-Jan. 1954. 1 v.
Z673.A84
59-30046

Printed in U.S.A.

ISSN 0044-9652

The paper used in this publication meets the minimum requirements of American National Standard for Information Sciences—Permanence of Paper for Printed Library materials, ANSI Z39.48-1984.

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THE LEADERSHIP ROLE IN LIBRARY FUND RAISING

FOREWORD

Expectations are high when it comes to the fund raising acumen of research library leadership. And typically these expectations are met, as the fund raising experience among the leaders of ARL libraries is extensive. Increasingly, however, even the most experienced and successful of fund raisers has sensed a change in the institutional approach to fund raising and/or the extent to which the institution dictates that library programs depend upon external giving as sources of revenue. The changing terrain of higher education fund raising signals a need to review and assess the nature of responses being made to develop external sources of funds for library programs.

The Leadership Role in Library Fund Raising was selected as the program theme to call attention to the changing scene of higher education fund raising. Implicit in discussions leading up to this program was a sense that libraries would benefit from a new level of sophistication with which to design and carry out fund raising strategies. An explicit emphasis of preliminary discussions was the need for strategies and tactics that would better integrate library development programs and priorities with those of the institution of which they are apart. The resulting program is designed to focus on both the art and science of a leadership role within an evolving institutional environment.

There are three program sessions. Session I sets the stage with an overview of the leadership role of library fund raising in the context of the institution as a whole. For Program Session II, a panel of four directors focus attention on *The Fund Raising Role and Expectations of the Library Director.* Program Session III presents a panel of experts to lead discussions on *The Design and Implementation of Library Development Programs.* The International Issues Luncheon is a briefing on recent international developments of special interest to research librarians.

GENERAL PROGRAM SESSION I

INTRODUCTION

MR. CURLEY: Good morning. I'm pleased to welcome you to this Opening Program Session. I have just a couple of announcements and then I will turn the program over to Susan Nutter, who has worked hard planning this session. At this time I shall introduce some special guests who are with us.

First, our guests from other library associations. Linda Crismond was not able to join us although she had planned to do so. We have with us, however, Ann Beaubien, who is President of ACRL and is from the University of Michigan; Ted Dobb, President of the Canadian Association of Research Libraries and Library Director at Simon Fraser University; and Werner Gundersheimer, President of the Independent Research Libraries Association and Director of the Folger Shakespeare Library.

We are joined by several representatives of foundations and federal agencies: Ray Fry from the Office of Library Programs and the Department of Education; George Farr from the Division of Preservation and Access of the National Endowment for the Humanities; Tony Cummings from the Andrew W. Mellon Foundation; and Julia Blixrud from the Council on Library Resources.

From other library and information organizations we're joined by Patricia Battin from the Commission on Preservation and Access; Jim Michalko from the Research Libraries Group; David Cohen, Director of Libraries at the College of Charleston; and Judy Quinn from *Library Journal.*

And our guests from the scholarly and higher education societies include Gloria Kirchheimer from the Social Science Research Council and John Vaughn from the Association of American Universities.

We do have an unusual number of guest speakers, and they will be introduced as they speak. They are, however, listed in the program. Two of our guest speakers have traveled a considerable distance to be with us, and I would like to acknowledge them: Michael Smethurst, Director General of London Services with the British Library, and Colin Steele, Director of Libraries at the Australian National University.

Following the first portion of this program, the International Library Issues Luncheon will be held at Hibernian Hall. The second portion of the program is back in this room. Then we will have the Business Meeting, which is open only to ARL directors. We have a number of important items to consider.

It is now my pleasure to introduce ARL President-elect Susan Nutter, our program convener and planner.

MS. NUTTER: Good morning. It is my pleasure to convene the program session of ARL's 120th Membership Meeting. This meeting's program, entitled "The Leadership Role in Library Fund Raising," focuses on an important and timely topic for almost every one of our library directors.

While our libraries are dramatically changing they're also facing serious funding inadequacies. And as we are faced with the dual challenge of maintaining traditional resources while incorporating new information technologies into our collections, services, and operations, it has become increasingly difficult to find the support to maintain, let alone improve, collections, services, and staff. A significant and continuing decline in support for higher education, coupled with extraordinary increases in the cost of library materials and exacerbated by a weak economy, has prompted libraries to seek new funding networks. All of this is occurring at a time in library history when the real value and importance of the library to the university and to society is being understood and recognized. As a result, the use of libraries is skyrocketing.

One new source of funding to which libraries have begun to turn is external giving. To secure money from these previously untapped resources library directors must implement innovative and aggressive fund raising approaches. Fund raising can no longer be an afterthought or a tangential activity labeled as a non-library function. Raising funds will be imperative to the growth and maintenance of first-rate libraries. In the coming decades fund raising will literally make the difference between mediocrity and excellence for many of our libraries. Unfortunately, very few library directors, this library director included, have been trained in fund raising. Few directors have been prepared either by training, experience, or temperament to undertake an ambitious development program. There has been little in the way of a published body of literature over a practical technique to guide them. As a result, fund raising involves issues and ideas that may be new to us. To make things even more difficult, fund raising issues are themselves rather murky and are not susceptible in many cases to quantitative analysis or to clear guidelines.

Fund raising requires intellectual agility on many levels. It requires the ability to creatively assess an organization's strengths and to build on them, to formulate a mission, to articulate a vision and to relate all of this to internal and external constituencies. Ultimately, fund raising offers us the opportunity to expand our vision and to break out of ordinary patterns. It offers the chance to link our bold ideas and exciting plans with the donor's ambitions and ability to realize them.

This program is intended to fill a conspicuous void. It is designed to focus on the art and science of a leadership role within an evolving institutional fund raising environment. For ultimately this program is not only about library development, it is also about library leadership. I would like to quickly provide you with an overview of the program. There are three program sessions. Session I will set the stage with an overview of the leadership role of library fund raising in the context of the institution as a whole. Peg Hall, Vice-President for Development at Gallaudet University, will open the session, describing a trend toward decentralization of the development functions in universities and the impac of this trend on the success of various units in attracting funding. David Olien, Associate Chancellor for Development for the University of Illinois at Urbana-Champaign, a campus where the development structure is very decentralized, will address strategies that turn campus competition into cooperative campaigns. Steven Elder, Senior Development Officer at the University of Redlands, will discuss the art of designing a development strategy, calling upon his background and experience in communication theory. Victoria Steele, who handles special collections at the University of Southern California, will propose an ethical framework for development from which she suggests an individual may fashion a fund raising style compatible with their own personality and the institutional setting. Following these presentations there will be three simultaneous small group presentations. These sessions will feature further remarks by each of the speakers who will then be available to continue the topic or explore new issues.

In Program Session II a panel of four directors will focus on the fund raising role and expectations of the library director. Program Session III presents a panel of experts to lead discussions on the design and implementation of library development programs. After brief introductions by each of the speakers outlining their topics, the audience will choose from four concurrent sessions conducted by experienced library development officers. Each of those sessions will be presented twice, allowing everyone to hear two of the four speakers.

Peg Hall will open our first session with a presentation entitled "The Decentralization of Development: Impact on Power, Priorities, and Perceptions." Dr. Hall has been in the advancement field for 14 years. She is Vice President for Development at Gallaudet University in Washington, DC, and has served as Vice-President for Advancement at Mount St. Mary's College in Maryland, as Director of Development for the College of Business and Management at the University of Maryland, and as Director of Foundations Relations for the University of Maryland system. She has experience in both centralized and decentralized development systems. Dr. Hall is the recipient of the 1990 John Grenzebach Award for Outstanding Dissertation on Philanthropy in Education. Her research compared decentralized and centralized development operations at research universities. The Columbia University journal, *Teachers College Record*, has just published her article on the impact of decentralization of development at research universities, and Johns Hopkins Press will soon be publishing her first book, *The Dean's Role in Fund Raising.*

THE DECENTRALIZATION OF DEVELOPMENT: IMPACT ON POWER, PRIORITIES, AND PERCEPTIONS

Margaret Rooney Hall
Gallaudet University

DR. HALL: Philanthropy is a process: it is the process of giving. Development is a process: it is the process of getting. Philanthropy focuses on the donors, their motivation, and their activity. Development focuses on what we do as directors, deans, and fund raisers to help the philanthropists make their contributions to our schools. Philanthropy and education intersect in the development office, because that office has the president's delegated responsibility to manage the relationship between the philanthropists and the university.

I want to talk about the impact of the decentralization of the development process. I chose three areas to talk about: the balance of power within the university; the ability of the university to set its own priorities; and the relationship between senior staff, faculty, and development officers.

For purposes of this talk, a "centralized development system," is a system in which all of the development officers are staff to the the president, supervised by the and paid out for by the vice-president. These development officers' responsibilities are often separated according to function and type of donor. A centralized development office will usually have a director of corporate relations, a director of foundation relations, a director of major gifts, and a director of planned giving. It will seldom include a director of library development or a director of business school development.

At the other end of the spectrum, a "decentralized development system" is one in which the deans and directors have their own development officers. They supervise those development officers and pay them out of the dean's or director's budget.

Of course, there is a wide mid-range of "hybrid development systems." They have some of the characteristics of centralized systems and some characteristics of decentralized systems.

Only at research and doctoral granting universities is decentralization of development an issue. In 1988 I sampled 100 colleges and universities and learned that fewer than 6 percent of those that were liberal arts or comprehensive institutions (using Carnegie Classifications) had development officers in either their business or engineering schools. I looked for decentralization as a proxy for increased decentralization in all areas. Medical and law colleges have tended to be decentralized for a long time. They are often isolated from their universities and may be in a different city or on another campus. They have always tended to be decentralized and to have their own development officers.

Historically, the core of the university has tended not to be decentralized. The academic areas that are the mainstay of the undergraduate program, including popular majors such as business, engineering, the libraries and the computer services departments, have tended not to have their own development officers. That is also true at liberal arts and comprehensive schools. But in a subsequent study, I surveyed all of the research and doctoral granting universities and learned that 61 percent of them have a development officer in business, engineering, or both. I also learned that 13 percent of those that did not have a development officer at the time of the study planned to hire one within two years. Just about half of these universities had hired their academic unit development officer within the previous four years. Decentralization is increasing.

It is commonly believed that private support comes from many anonymous people who give relatively small gifts. It is also commonly believed that private support, therefore, provides flexible funding and that the dean, director, or the president can use that money as she or he sees fit. The fact is that private support is most often restricted. Using numbers from the Council for Aid to Education, in 1987-88, only 16 percent of private support for higher education was unrestricted. And the percentage went down in each of the two subsequent years. It is not true that private support creates a slush fund out of which deans or presidents can manage our great new ideas.

Similarly, it is not accurate to assume that most donors are anonymous givers of small gifts. In 1989-90, 56 percent of the private support came from 99.5 percent of the donors. The other 44 percent came from 0.5 percent of the donors. That means that as directors with limited time to spend on development, it is best to pick one of the donors in the 0.5 percent to spend time on, not one of those in the 99.5 percent segment. Because the average gift from the donor in the 99.5 percent segment was $121, and the average gift from those in the 0.5 percent segment was more than $22,000.

It may require just as much energy to cultivate the $121 gift as it does to cultivate the $21,000 gift. The difference is the ability of the individual to make the contribution. Dealing with people for whom $100 is a significant chunk of their disposable income, may be just as hard as cultivating the $20,000 gift, where that is also a gift from disposable income. These general fund raising facts are pertinent to a discussion of decentralization because decentralization often changes the point of impact for the few, but very important, unrestricted gifts, as well as some restricted gifts. Most of the smaller gifts from the 99.5 percent group result from the annual fund raising drive, which includes the phone-a-thons and direct mail solicitations.

If the annual fund is decentralized, the director or the dean controls the direct mail solicitations, runs the phone-a-thon, and requests support for his or her own division of the university. When the money comes in, the director or the dean receives that flexible funding and can designate it for areas of particular need. If the annual fund is run centrally, the unrestricted money is under the the president's control. Decentralization causes a shift in how those unrestricted gifts will be used. Control over the unrestricted money generated by the annual fund is a strong motivator for the president of the university to maintain centralization. It is very difficult for any academic leader to obtain unrestricted funds, even if they are only 16 percent of the private funds received by the university. It is painful to give them up because they can have such a big impact.

Similarly with major gift fund raising, decentralization shifts the impact, and a lot of the work, to the directors and the deans. Major gift fund raising tends to be a long and intensive process. It is important to identify the few people who are in the .5 percent donor group who might be interested in your college. Then point out to them any overlapping interests they may have with the university. For a six-figure gift, it is not unusual for the development process to require 12 to 18 months. A gift of $1 million or more may require two or more years to involve potential donors and convince them that their gifts are good investments. The process will require many contacts between the director, the staff, the students and the potential donor or the organization to which that person makes a gift.

Decentralization moves that cultivation process to the directors and deans and their staff officers. It changes the focus of information the potential donor gets from the broad university spectrum with the highest university priorities, to the broad spectrum of a particular segment of the university with the highest priorities for that segment. This shift in focus affects the balance of power at the university. During my 1988 research project, the president of a university with a decentralized development system told me that he believed that decentralization significantly shifted the balance of power among the deans. Deans who had hired their own development officers, and at his university that included the director of the libraries, tended to raise more money thus changing the balance of power among them. Deans who had their own development officers had a bit of a fiscal cushion so they could be more entrepreneurial and take bigger risks. They were somewhat envied by the deans who had not yet been able to hire their own development officers. Those deans who had successful development programs also, according to this president, felt like they had an extra bargaining chip when they were negotiating with the president for university-wide resources. He believed it had to do with their increased resource flexibility. The deans felt that if the president would not support a project, they could use their unrestricted private money to at least start it. He said he believed many, many presidents were unwilling to provide that extra negotiating power to their deans and were not willing to shift the balance of power among the deans in this way. Therefore, a centralized development system is retained.

I also talked to the deans at this same university. Each had a development officer for the college he managed. They agreed that decentralization had increased their power, but they each attributed it to a different reason. They thought their power was increased through their development activities and their full-time developmental staffing. They had developed very strong relationships beyond the university walls with some power players in the community. They felt more confident in their relationships within the university knowing that there were people who would come to their aid politically if their units of the university were not getting a fair share of the resource pot. In my research, 70 percent of the development officers at all research universities agreed that the power shifted with decentralized development.

How is it that decentralization of development changes or affects the university's ability to set its own priorities? Major funders have historically sought to and succeeded in influencing university priorities. At the beginning of the century, the General Education Board, which was funded by John D. Rockefeller, obtained documentation for its conviction that medical schools were not rigorous enough. There were 150 of them and the General Education Board believed there ought to be about 30. So they started putting a lot of money toward those schools they thought should be retained. They tied to their gifts a requirement that faculty members had to work full-time at the university and could not have private practices. The gifts changed universities and the medical schools. Many of those schools are our primary medical schools today.

Also early in the century there was a significant personnel issue at Stanford. A professor named Edward Ross spoke out against the use of immigrant labor in building railroads. The founding donor to Stanford, who with her late husband garnered wealth in the railroad business, disagreed. Professor Ross found other employment.

There are few similar situations today. However, when there is someone who is willing and able to make a seven-figure gift in support of your university, or better yet your library, listen very hard to what that person says and look for the areas where your interests come together. That will potentially shift the development officer's priorities. If five program priorities have been determined and there is a donor whose seven-figure gift would support a different program, that program could find itself creeping up on the list of priorities. If development is decentralized, the dean or director will have more influence on the priority decision.

One dean told me that he thought deans have a better chance than presidents of finding the right fit between program needs and donor interest because they are closer to the programs. For example, at his university a central development officer had learned of a potential donor who wanted to make a gift to establish a free enterprise program at the business school. The business school dean did not want a program in free enterprise, an area he believed was too trendy and not based in adequate scholarly concepts. Because the dean had his own development officer, he became involved in cultivating the donor toward an entrepreneurship program, a program with similar outcomes but with more academic standing. The interests of the dean and the donor converged. When that dean talked to the central development officers he felt that they did not see the difference between a free enterprise program and an entrepreneurial program, and he believed they might have accepted the gift in a way that was disadvantageous to the college.

Turning to the relationship between the faculty, senior staff, and the development officers, each side suffers from a perception problem. Development officers are often seen as snake oil salesmen by faculty and staff. Faculty and librarians are often seen as nerds by development officers.

Decentralization tends to resolve those perception problems. When faculty and development officers share work, lunch room discussions, and hold hallway meetings, they begin to understand each other's priorities. Faculty members learn that development officers will be evaluated almost totally on how much money comes in, and development officers learn that faculty will be evaluated almost totally on their publications. All the other things that a development officer might do for the university will be secondary and tertiary considerations. All the other things that faculty might do will not count as much as their record of publication. So the development officer learns not to ask faculty to do a lot of fund raising unless it helps them with publishing, and faculty learn not to ask development officers to manage an event if it isn't going to bring in any money. Faculty and development officers instead find academic activities that have fund raising impact and development activities that have academic impact.

Development officers have, in the past, seldom had a Ph.D., which is the minimum requirement for faculty and senior staff in the major component of the university. Despite the lack of academic credentials, development officers have had an impact on policy making, and have had direct access to the policy makers. This problem will probably only be resolved by insisting that fund raisers have academic credentials if they are going to work in universities.

Decentralized and centralized development systems each have advantages and disadvantages. The primary advantage of centralization is that it provides presidential-level control of the resource pool that is represented by donors. Potential donors are a university resource and all university resources should be managed by the president. The primary advantage to decentralization is increased involvement in development by the deans and directors. Because such a large amount of money comes from so few donors, the university must pay attention to those donors. The president can't possibly do it all. The directors and deans must help, and they can't help without the appropriate staffing. Appropriate staffing is almost impossible to provide through a centralized staff. The director or the dean has to have decentralized staffing to be effective in raising private support for the university.

MS. NUTTER: Thank you, Peg. In listening to your remarks, I am reminded that I have a highly decentralized institution that is about to move to centralization, and *that* made me worry a little.

Our next speaker, David Olien, will discuss an organizational approach to cooperative campaigns. He is at a highly decentralized institution in terms of development activities. Mr. Olien is the Associate Chancellor for Development at the University of Illinois Urbana-Champaign and is Deputy Director of the University of Illinois Foundation. His responsibilities include supervising development operations for the university's campus, working with the chancellor and foundation leadership to develop campus-wide and unit fund-raising plans and practices. He also oversees, with the campus deans, the work of 36 development professionals, as well as a central staff of seven senior development professionals. He also has a strong background in journalism, public relations, and government relations.

AN ORGANIZATIONAL APPROACH TO COOPERATIVE CAMPAIGNS

David Olien
University of Illinois at Urbana-Champaign

MR. OLIEN: Thank you. I'm especially pleased to be asked to be with this distinguished group today. Like many other graduate school alumni I recognize that the quality of the University of Illinois library is largely responsible for my ability to complete my thesis. That personal experience has affected my performance and the way I relate to the library and to David Bishop and Joan Hood.

I would like to cover three general topics. Before I discuss cooperative campaigns, it is important to address some of the fundamental fund raising campaign issues, whether they are cooperative or separate. I would like to talk about how we developed a cooperative campaign but save some of the nitty-gritty, nuts-and-bolts issues for later. Then I will conclude by sharing my reasons for believing research libraries should have their own development operations.

My remarks will certainly not fit the situation as it exists in all the institutions represented here today. Our universities are living organisms, they have developed along very different fashions based on different missions and different histories. But I would hope that some of the experience that my colleagues and I have had at Illinois will be applicable to your situation.

At the University of Illinois when we talk about decentralization we are talking about the ultimate in decentralization; we are talking the real thing. Faculty, deans, and chancellors who are recruited to Illinois from sister institutions represented in this room are generally shocked at the level to which we are decentralized. We are obviously a large, complex institution. We receive approximately 38 percent of our support from the state, so we are now a state-assisted institution. Our 26,000 undergraduates and 10,000 graduates are taught by 2,700 faculty members. Our university librarians are tenured members of the faculty.

The library on our campus has been one of the campus's crown jewels throughout its history. It was built, as many libraries are, to be imposing yet accessible. It lies in the heart of our campus. The words over the main entrance indicate the place our library has in terms of campus priorities. Students walking through the main door walk beneath these words, "Unlocking the experience of the past to the builders of the future." In addition to the main facility, satellite libraries exist in many colleges and departments throughout the campus. We have begun construction on a new $18-million facility on the engineering section of the campus, and we are contemplating construction of other library facilities in the immediate future.

Like many public and private institutions today, the University of Illinois is squeezed from the endowment and the state sources by increased costs and reduced income. Like all the institutions represented here today, we see building a private donor base as an integral way of building and protecting our quality. Last year the University of Illinois took in $112 million in private support from 55,000 donors. This statistic agrees with Dr. Hall's statistics – 80 percent of our dollars came from 20 percent of the donors. Examining our annual funds program (any gift that comes in that's less than $1,000 is categorized as annual fund program), we learned that 2 percent of the donors provided 40 percent of the dollars. So the truth of focusing efforts on the high end (on the major gift) is something that can not be emphasized enough.

The University of Illinois library, fine arts center, and student services departments are the only areas on campus permitted to raise funds campus-wide. Last year the university library, thanks to David Bishop's and Joan Hood's leadership, ranked fourth among the major 19 development units on our campus in terms of dollars raised. The library ranked ahead of our College of Commerce and had over 4,200 donors.

We operate as a decentralized/centralized or centralized/decentralized development program, depending on the preferred term. Staff previously reported only to the dean or department head. In addition to this, there were staff members at the University of Illinois Foundation who reported to an executive director, and the two never met. There were conflicts over donors, there were territorial disputes, and three years ago the university organization was changed. Many functions of the Foundation were shifted to the campus. Most of the development officers who are employed by the Foundation and who are out on the road now report directly to the chancellor's office, or to my counterpart in the chancellor's office in the Chicago offices. The organizational units of the various fund raisers in the colleges report to the associate chancellor, as well as to the academic units. Questions of hiring, retention, salaries and other issues are all joint decisions. That is essential if we are to run cooperative campaigns effectively.

Campaigns are difficult, challenging, and rewarding. They are absolutely essential parts of our lives on campus today. They're less difficult and more rewarding when we follow some very fundamental steps. We should not assume that merely bringing development staff from more than one area to assist automatically increases the fire power or the likelihood of a campaign's success. Be aware that unless there is someone clearly in charge of the campaign, responsible and accountable for its success or failure, the entire effort is in trouble from the very beginning.

There are at least five elements of a successful campaign. And my colleagues here who have been to development conferences doubtless will have heard different elements. Every speaker has a different number of elements, because development is no more a science than political science. First, the institution itself must have sound planning. It needs to have been through a long-range planning process that analyzes organizational strengths and weaknesses, strategic opportunities and threats. Key issues must be identified as the institutions identify and develop goals and objectives. Once that has happened and that process is over, the institution is ready to develop a mission statement that helps persuade individuals to support the campaign. And as Dr. Hall said, that is one of the most important things in the whole development process.

Second, the campaign must have a logical and well-developed plan, including an attainable goal. It must have a calendar of activities, evaluation of resources needed to execute the campaign, a management plan, and specific fund raising strategies for each specific goal or prospect.

Third, the campaign must have the benefit of knowledge gained from a feasibility study. Many institutions use outside consultants. We certainly do at the University of Illinois. I would advise the use of outside consultants to obtain a realistic sense of the donor's interest and inclination. The interview process helps engage potential donors and provides a more realistic assessment of the development officer's image with them. That's critical to the campaign as well. That will help you strengthen your case. It will help in the analysis of the availability of financial support, and it will help identify key individuals to serve as volunteers. It will also determine if the timing of the campaign is appropriate.

Fourth, the campaign must have the commitment of the university's board of trustees, foundation board, or leadership (be that a chancellor or a president), as well as the support of volunteer leaders. The volunteers must have a strong leader. Campaign staff must be trained, experienced, hard working, adaptable people who believe in the cause. And as development professionals are hired, it is very important that they understand the institution, believe in its mission, and dedicate their lives to the institution.

Fifth, if the feasibility study indicates that it is not possible to put together the gift table with the appropriate number of donors at each level, then the campaign most likely will not succeed. The fundamental elements of the gift table start with major donors at the top and work down toward the smaller donors. As Dr. Hall said, $10,000 donors are not going to make a successful campaign if the goal is to build an $18-million facility. The fundamentals of the gift table and the need to have major gifts (hopefully one individual will fund more than half the cost of a facility or an endowment) can't be escaped. And it is at great peril to the institution if there are too many blank names in the gift table. It is important to remember that in higher education campaigns today 95 percent of the dollars are coming from previous donors.

Let me divide the remainder of my remarks into two segments, the first focusing on how we conducted a cooperative campaign, the second on why we should have a separate fund raising program at the library.

At the University of Illinois we have conducted two cooperative campaigns involving the university library. The first was to develop support for the chemistry library. This was not a facilities campaign, this was an endowment campaign. The second campaign is currently underway to raise funds to construct a new facility on the engineering area of the campus. In the interest of time, I will focus on the history of that project. The first significant development in the engineering library campaign was an agreement between the dean of the college of engineering and the director of the university library, David Bishop, that construction of the new facility was the top development priority for both the library and the College of Engineering. An internal feasibility study was done in which my office analyzed unit development plans, including assuring that the appropriate number of donor prospects had been identified. Next, a campaign plan was created that involved the development staff of the library and the College of Engineering. The donor prospects were almost entirely alumni of the College of Engineering. In the past two years, the campaign has unfolded in a classic manner and has experienced considerable success. The funds for the facility construction have been raised and we are now raising support to make it the first fully endowed library on our campus. Personnel from both the college and the library have been involved in calling on prospective donors at all levels of the gift pyramid. Travel schedules are coordinated and much of the travel is funded by my office.

Clearly, this cooperative campaign has been successful. I have seen important advantages of the cooperative effort for the library and the college. The partnership has brought more resources to bear on library development objectives. It has lessened the tensions between campus units and our library, increased the library's visibility with the separate colleges, and built credibility of the library development staff with the campus as a whole.

While some consultants may maintain that money for a library facility can not be raised through a broad-based campaign, we found that this was absolutely not the case. We found the cooperative project, however, did increase my comfort level as well as the chancellor's comfort level when it came to approving the project. Having the support of both the college dean and the library built credibility with donors. It was apparent to them that we were working in a coordinated fashion and that we had our act together. When the dean said that the library project was his top development priority, it empowered both the library staff and the college staff to go out and achieve success.

Finally, I believe that cooperative efforts are more likely to succeed than single-headed or double-headed efforts. The library cannot succeed in a campaign while it is engaged in political infighting over campus priorities, donor lists, or both.

I support the creation of separate library development programs on our campuses. The most obvious advantage of doing this is that it creates a group of internal and external library advocates. A separate development function helps ensure donors' attention to the library needs and exposure of the library to those donors. Otherwise I fear the focus of many of the colleges will be on the most immediate challenges to the dean: faculty salaries, endowed academic positions, faculty research, teaching awards, students, and financial aid.

Often deans are tempted to view the library as someone else's responsibility. Creation of a library development office helps ensure, in our decentralized institution, that there is at least one appeal to donors other than the college itself. This is absolutely crucial for us considering that at the University of Illinois, 70 percent of the gifts that come in, come to a unit other than the individual degree-granting unit. So we would be insane to divide our alumni lists and say these are the property of individual colleges for a lifetime.

It is important to recognize that the women and the men from whom we solicit gifts are very different from the individuals that walked across the stage and received a diploma. They have different interests – it may be in the library, the arts, athletics, or foreign affairs.

We have to be responsive to their interests and try to match their interests with our needs. If a donor does not identify with a unit when a unit officer goes to cultivate the individual, if an attractive alternative is not placed before that donor, the donor is not likely to give. The campus as a whole suffers.

The need for library support is relatively easy to communicate to prospective donors. If our alumni do not understand why we need to maintain quality in our libraries, they probably are not going to understand other needs. I have found that donors like and identify with the library. I recognize that at Urbana-Champaign our circumstance may be a little different than at other institutions. The library is a recruitment tool, not only for faculty and staff but for the students as well.

Our experience, and this is true of most of our sister institutions, is that our undergraduate degree holders are typically our benefactors, and our undergraduate library has a very sophisticated program for making sure it is user friendly for the undergraduates. And as we interview individuals after commencement and do our five-year-out surveys, we test attitudes about campus services. The library is always one that we ask about. The alumni satisfaction rate for the library ranges from between 95 to 97 percent.

Finally, the library is a development operation that can take advantage of the fact that there are a significant number of people who simply love books. And if we do not recognize that and we do not build a staff that takes advantage of that fact, we are not likely to succeed in doing what we want. Just as there are segments of alumni who are concerned about campus beautification or the environment or a whole series of other areas, the library is something that remains near and dear to many people's hearts.

MS. NUTTER: Thank you, David. Our next presentation will be a joint one, which is fitting considering that Victoria Steele and Steven Elder have just co-authored a wonderful book that will be published this month. It's entitled *Becoming a Fund Raiser: The Principles and Practice of Library Development*.

Victoria Steele is head of Special Collections at the University of Southern California and a librarian who has also been a professional library fund raiser. Her Masters in Library Science is from the University of California at Los Angeles, where she also headed two special collections before becoming Director of Development for the UCLA Libraries and the Graduate School of Library and Information Sciences. In 1988 she became head of the Department of Special Collections at USC. At USC she takes an active role in fund raising for the libraries.

Steven Elder is the Senior Development Officer at the University of Redlands in Redlands, California, where he is responsible for major gift fund raising. He was formerly the development officer for the University of Southern California library. He has a BA in Journalism from the University of Utah and has worked as a news reporter, editor, and marketing manager. He earned his MA from the Annenberg School of Communications at USC, where he studied the design of public communication campaigns. He has a wide range of public relations marketing and development experience in the nonprofit setting.

Vicky Steele will begin the presentation, which will address two topics: finding and fashioning a fund raising style and designing a development strategy.

FINDING AND FASHIONING A FUND RAISING STYLE AND DESIGNING A DEVELOPMENT STRATEGY

Victoria Steel
University of Southern California
and
Stephen D. Elder
University of Redlands

MS. STEELE: As a librarian, I have gone through a process similar to what many of you may be experiencing – wondering what makes successful fund raising. When I was first trying to raise money and was seeking advice, I know I had the experience many of you have. Jerry Campbell summed up my feelings in an article he wrote in 1986 in which he said that advice about fund raising left him with the feeling that he was being given 15 different recipes for making homemade bread by someone who had never actually baked a loaf. I know I certainly couldn't find the answers to the questions that I had. I read everything, I talked to everyone, and I still didn't really know what worked. I became intent on finding some answers.

To a large extent you, too, have had to figure out fund raising on your own, and you have a lot of other things to think about besides fund raising. Many of you have become adept fund raisers. You know you're successful even if you're not exactly sure why. The fact that your incoming president has made fund raising the topic of this week's program is perhaps an indication that a little more information about this murky area would be helpful.

Several years ago when I went to USC, Steve and I discovered that we shared a consuming interest in trying to understand what works. And we wanted to know if this kind of tested technique could be applied in a principled way, because both of us were troubled by the complete absence of any discussion of fund raising ethics. The result was the book that Susan referred to. This combination of tested technique and principle is a new one, and today we will be presenting a few of our ideas. The title of our book is *Becoming a Fund Raiser: The Principles and Practice of Library Development*. But it could just as easily have been entitled "The Leadership Role in Library Fund Raising," the title of this morning's session. Leadership in many ways turned out to be our subject, so we're delighted to have this opportunity to be with you today.

Let's talk about the leadership role in library development. What is this role? We know one librarian who would argue that we are people of the book, not of the checkbook, as if to suggest some fundamental incompatibility between librarianship and fund raising. But most of us have long since figured out that no one is going to solve our problems for us. If we're going to realize our vision for our libraries, we're going to have to find the means to get there. It is part of the challenge; it is part of what it means to be a university librarian now. These days it seems everyone is questioned about their fund raising ability during the selection process, and in many places fund raising prowess is considered when evaluating candidates for a director's position.

As I talk about fashioning a fund raising style, and my partner Steve Elder talks about designing a development strategy, our goal is to link fund raising to what you're already doing. As library leaders you're already doing the two things most essential to successful fund raising: you are thinking in long-range terms and working to realize a vision.

This, as we will point out, is much more important than whether or not you have fund raising staff or how much fund raising experience you have. Incidentally, we realize there is a lot of variation on these points. But each library director has this one thing in common – an idea about what you believe would make the single greatest difference to your library. It could be a $30-million building or a $30-million endowment; whatever it is that you think would make the single greatest difference to your library.

I categorize some people as "Dean I've-Got-a-Dream" fund raisers. "Dean I've-Got-a-Dream" people know that successful fund raising grows out of a clear vision. Style grows out of vision and an individual's personality. In contrast, another fund raising approach is personified by "Dr.Wouldn't-It-Be-Nice." It is clear that we are describing two opposite ends of the spectrum here, and we tend to favor the more visionary approach.

The first distinguishing difference in the two leadership or fund raising styles is in the way the two people see their roles. And we like to sharpen this difference by using an analogy, the Sherpa/mountain climber analogy. Where fund raising is concerned, "Dean I've-Got-a-Dream" sees himself like Sir Edmund Hillary, whose idea it was to scale Mount Everest. Hillary knew that he couldn't make it to the top of Everest without the Sherpa Tenzing because Tenzing was the only one who knew the way and a lot of other important technical details. Hillary got the funding; he'd never dreamed of delegating this to anyone else because it was his vision that was the reason for the expedition in the first place. "Dr.Wouldn't-It-Be-Nice" might have the idea to scale Mount Everest but he would try to delegate everything, including the actual climbing of the mountain.

High stakes fund raising is very similar to climbing major peaks: it takes both people to get there. Because "Dr. Wouldn't-It-Be-Nice" doesn't look at fund raising as a partnership between mountain climber and Sherpa, he has his development officer working on public relations, conducting needs assessments, and keeping abreast of what is going on in the library – functioning more like a potential spokesperson or a public relations director than a fund raiser.

"Dean I've-Got-a-Dream" is clear about his objectives, Everest or K-2. The good Doctor, in contrast, has a long unprioritized list of peaks that he thinks would be nice to climb, and they're all over the map. Our mountain climber spends his time on face-to-face contacts with the key people who can help him; he goes straight to the Royal Society. The Doctor likes group approaches like events or impersonal approaches like mail appeals or grant applications.

We all know that the question of style is not as simple at these two extremes. Why? Because the uniqueness principle is always operating. You have all held a variety of positions and you know how different each place is. And, of course, each of you is unique, too. A program should be shaped to suit individual talents, preferences, and abilities. For example, some people enjoy dining and so they do well designing their development contacts around meals. Other people prefer to structure their contacts more formally, along the lines of business meetings. Some people shine before an audience, some are masters at one-on-one encounters, some people come alive at parties. The point is to think about what situations energize and suit you, and then shape your program to take advantage of these. It is also useful to separate the "institutional you" from the "personal you." In fact, this is a helpful idea for many people. We know one university librarian who is a dynamic, wonderful leader and a wonderful fund raiser, and she says this about herself: "I was born in Harlem during the Depression, poor, black, and a woman, and I have a lot of problems with the idea of asking someone for money." In fact, a lot of people have problems with the idea of asking someone for money. And for this reason we have a whole section in our book to help you work through some of these concerns.

Librarians, as we all know, are high-minded people. We do not feel comfortable embarking on fund raising without coming to terms with the ethics of fund raising. And because these issues are also important to Steve and me, too, we have devised a methodology for raising money that stems from an ethical base.

Let's begin with a statement that is part definition and part philosophy:

"Library development is a carefully orchestrated, purposive effort to raise substantial sums of money by identifying and cultivating potential donors and by soliciting gifts from them when, and only when, their goals and wishes are congruent with the library's goals and priorities. The goal of the development program is to enhance the library's independence. Therefore, fund raising is judged to be successful not principally on the basis of dollars raised, but to the extent that gifts contribute to the strategic vision for the library."

This statement rests on two principles. The first principle is about keeping the fund raising process balanced and two-way. We don't want to be manipulative, coercive, or tricky to get what we want for our libraries, nor do we want our donors to be calling the shots about what we do. We like to keep the second principle in mind whenever we work with potential donors because many opportunities come along that might help the bottom line in the short run but will actually end up costing us money down the road. Others are distracting or hampering.

The nice thing about fund raising done in accordance with these two principles is that it's freeing. Because we're not worrying about doing something vaguely sleazy or something we don't feel good about, we can be free to be who we are and develop a style that feels right to us. We call these our tenets because we believe in them. The first is the without-which-nothing-of-library fund raising (see figure 1, page 24). This is the single most important factor in successful fund raising.

I have already described the uniqueness principle (see figure 2, page 24), but let me add that the reason it is here is that fund raising in many ways depends so completely on unique factors at work in each institution: one program emulating another can be, if not dangerous, at least unproductive. The University of California-Santa Cruz and Yale need to shape their programs to take into account the unique factors at work in their environments. This is, I would say, a definite caution if you're thinking about embarking on a fund raising program. I've worked at UCLA and USC, both large urban universities and in the same city and they are so different from one another that it's remarkable. Things that we did at UCLA in fund raising we know would never work at USC, and vice versa.

The third tenet comes out of work done by one of the very best researchers in the field of philanthropy, Kathleen Kelly, who questioned the conventional wisdom that successful fund raising rests on and requires a broad base of donors. In fact, newer studies and statistics show that 90 percent of all giving is being done by only 10 percent of the donors.

As for the fourth tenet, we prefer not to use marketing and sales approaches or related vocabulary because both approaches are one-sided. Sales approaches push products and marketing approaches adjust or mold products in response to consumers, and therefore they violate the two-way balanced approach that we talked about in the first principle. So we never speak of "selling" gift opportunities or "marketing" gift opportunities because we don't think those are appropriate models. Some of this kind of jargon has been fashionable in development offices in the past few years, and we just don't like it.

While Steve and I are changing places we would like to leave you with this thought from Kathleen Kelly's book, *Fund Raising and Public Relations: A Critical Analysis*, that puts so nicely the challenge facing institutions that engage in fund raising. (See figure 3, page 25.)

"The Challenge: Charitable institutions face a double-edged sword. In order to enhance their autonomy, they must seek external funding to support their institutional goals, but in so doing, they risk losing autonomy by accepting gifts that limit their power to determine goals and the means of pursuing those goals."

MR. ELDER: Development officers believe that fund raising is successful only when it enhances the library's independence, its ability to pursue its goals and to create a good experience for the donor. We are not in it only for our personal gains. "We" meaning me, the development officer, and "you," meaning the librarian. It is this great challenge and the great reward that goes along with it that is our personal reward. It's what makes development so intriguing. To me it's magical and a fascinating strategic problem to make this work. How do we balance our donors' interests with those of the organization in such a way that we both get what we want? I for one am glad this tension exists because it makes my job interesting and it's probably the reason that a lot of us are here today.

I am happy to be here because I deeply believe in what you do. The collective wisdom and talent in this room gives me great hope for the future of academic libraries. So it is my job to talk about designing a development strategy. I'm going to run through this list fairly quickly. This is not a whole development methodology by any stretch of the imagination. We do not have time and it is not appropriate for this group because you know a great deal about it already. We have distilled it into a list of six elements (see figure 4, page 25). A development strategist knows the library's niche; has a strategic plan; builds a good development team; identifies prospects with MAGIC; develops individual cultivation strategies and sees them through; and evaluates the development effort. I'm going to try to give you some very specific strategic ideas that you can use in your everyday development work.

A good development strategy starts with the development officer's clear understanding of his or her niche. Basically every organization has its own unique purposes . Those purposes are derived from the library's purpose, as well as from the purpose of serving and coordinating with the larger institution. Where uniqueness and purpose intersect is the development officer's niche (see figure 5, page 26).

A good understanding of this niche helps the officer do four things. It helps the officer determine the most important priorities within the niche and it helps to focus the officer's vision. It helps the officer focus on one or two priorities rather than a laundry list of things. The problem with laundry lists is that they mislead people in the organization who might think that because their particular project is on the list that it's going to get funded some day, when actually in your mind it's 10 or 15 or 16 down the list. An officer's clear understanding of his or her niche also helps in the evaluation of whether gifts align with the best interest of the library. Some gifts, as you know, may cost more to take than they are worth. That is because it doesn't fall between the intersection of those two circles – it is either on one side or the other or it is clear out of the ballpark. A development officer's strong understanding of his or her niche also helps focus the fund raising message . methods. An officer's niche is what he or she has to offer the donors, it is their case for support and it gets to the questions donors might ask. They will ask, "Why should I support your library and not some other?" They may ask, "Why a library and not some other area of the university?" And they may ask, "What's so special about you that you're coming asking for this gift?"

Any good fund raiser can answer those questions quickly, succinctly and enthusiastically. The development strategist has a strategic plan, the second element of a development strategy. It is essential to have an overall strategic plan for the library in place. It is not necessary to have a different kind of plan to begin a fund raising effort, as opposed to what Mr. Olien discussed in terms of a full-blown campaign. We are talking about getting things going raising funds outside of the traditional campaign forum. We believe this for two reasons. One is fund raising should compliment the strategic plan of the library. It is not necessary to have a complete other plan, there is no separation there. The second reason is that development is not a mechanical plan meant to work as an enterprise. As soon as a detailed step-by-step plan is written, it is going to be obsolete. Development operates in a highly situational environment, constantly changing, always reacting to new opportunities and resistant to measurement.

Rather than talk about strategic planning for libraries, which you know much more about than I do, I want to talk about is how strategic planning relates to the development operation. A good strategic plan is highly specific, internal, created by the leadership of the library (not the fund raiser), and it forms the foundation for the development program. It does not detail everything an officer is going to do step-by-step, it is a launching pad that the development team can use to develop their step-by-step development program – who their prospects are, what their development strategies are, and how they are going to meet these goals.

Before we get into those nitty-gritty questions it is important to discuss building a good development team. Not everyone here has the luxury of a development staff of their own. Some directors and institutions have various configurations. Some are probably all on their own when it comes to fund raising. But whatever the situation, the most important thing to remember is that as the library director, you are the key person in the effort. Beyond you the difference is essentially one of degree. Consistent with the Sherpa mountain climber analogy, the more able people there are climbing, the higher you can go. Contrary to popular belief, development officers rarely ask people for money themselves. So it is not necessary to have a professional fund raiser in order to do fund raising. A donor, someone with money, wants to talk to someone with power, and the director is the person with power in the library that they most want to have access to. Directors are in a much better position to talk with potential donors on their level and in a non-threatening way than someone who has fund raising in their title. A number of studies have made the correlation between a university president's willingness and interest in fund raising, his or her adeptness at it, and the success of the university's fund raising effort. The same situation occurs at the library level and on an academic unit level.

The third thing a successful development strategist does is to build a strong development team. Donors give money because they develop a relationship with your library, and you are the one who represents your library. The mountain climber still gets credit for raising the money and getting to the top even if the Sherpa, the development officer, did all the work, carried his bags, made all the appointments, and got him or her into a place to ask for the gift. That is the way the relationship works. For Sherpa-like assistance there are basically three places to turn. One is the development staff. The second is the central development office. Central development offices are great places, but not the place to leave the responsibility for fund raising, because it is not going to get done, unless there is someone like Mr. Olien or Dr. Hall who appreciates and understands the role of the library. But cultivating relationships with development officers in the central development office is very important. It is almost like cultivating a relationship with a donor.

It is telling that of all the voluntary support to higher education in 1990, only 1 percent was designated to libraries. One of the reasons libraries are not getting their fair share of the pie is the weak relationship between the library and the central development office.

Another place to turn for assistance is the planned giving specialists, if they are part of the development staff. They are very well trained in the complexities of planned giving and they can turn gifts your way. The third place to turn for Sherpa-like assistance is the librarians. The Sherpa mountain climber analogy is particularly appropriate in a discussion about libraries and staff librarians. There are people on staff who are natural born mountain climbers, and if these people can be enlisted in the development effort, they will be a real asset. Don't look too far for the mountain climbers on staff, they should be obvious. We also do not recommend involving too many people in the development effort, because too many people can bog down the effort.

We have said the development officer/library director relationship is analogous to a Sir Edmund Hillary/Tenzing relationship, and it works. There is a regard for each other that extends beyond the boundary of ordinary working relationships. In order to go out and face the difficult challenge of raising money, a psychological contract with each other is necessary. There must be a chemistry that allows us the freedom to brainstorm strategies and to be accessible to one another. It is a rare thing, but it is worth striving for.

Another thing that a library director can get from this type of relationship is an out-group perspective – a free consultant situation. There is access to someone who has a perspective on the library that people within the library do not have, or may be hesitant to share. These opinions can be very valuable.

The nature and goal of the working relationship of the Sherpa and mountain climber is to be boundary-spanned, spanning the boundaries of the organization to manage the independence of the organization and to reach people. Because of the nature of this relationship, it is necessary that the lead development officer in the library report directly to the librarian, perhaps with a dual reporting relationship. That access and close relationship are necessary for success.

In addition, the following are all matters for a development officer to worry about, but they are also very important for the CEO of the library, because they affect the success of the development program. They are a prospect tracking system, timely acknowledgements, good gift accounting, and good stewardship. Those responsibilities should all lie within the library. They do not lie solely with the central development office.

Now we are moving into the actual development process. We talked about a planning process and how to recruit a good development staff. In the fourth and fifth elements of a successful development strategy, I want to touch on some specific and useful strategic points.

Vicky and I have come up with a **mnemonic** MAGIC (see figure 6, page 26) to remember the key questions to ask about a prospect. Does the prospect have **Means**? What is the person's **Age** and are there **Heirs** (the fewer heirs the better)? Is the person a **Giver**? Is the person **Involved** in your organization, and does the person have **Contacts**? A person must have either personal means or contacts in order to be a valid prospect. By contacts we mean principal contacts – the person must be in a position to give away other people's money. Some people, no matter how wealthy, are not givers. Much time and energy can be saved if this is discovered early. Age is an important issue because most people who do so give in their 50s and 60s. A person in this key age bracket without heirs and with substantial means is a good prospect. Involvement is also essential. A person must have reasonable ties to an organization in order to be a viable prospect. Donald Trump may qualify on the M, G, and C scale, but for most of us, unless he is a graduate of your institution and liked the library when he was there, he is probably a long shot. Peter Ueberroth actually told Vicky and me one time that we ought to call Michael Milken, his good friend. I said, "Thanks, Pete, that's really good; when he gets out of jail, we will."

Who will give you money and where will it come from? There is something called the 80/20 rule, but it has actually become more like the 90/10 rule. Ninety percent of the funds will come from 10 percent of the donors. We think about the universe of prospects as a strategic target. The idea is to focus on the best prospects, the ones at the center of the target. This is not a model for the whole universe, it is simply an example. People will say, "You should be going after this person," and there is no reason why this person would possibly be interested in your library. That is the "Going After Syndrome," also known as the "Vague Others Syndrome." The best way to deal with these situations is to ask the trustee or volunteer who suggested the contact to help. Maybe they have a connection to the person and can actually help. But if they have no idea about how to get to them it is probably not going to be worth the time to try.

Federal dollars are the very hardest to earn dollar for dollar. When we talk about fund raising we're talking about private, not governmental funds. A lot of you have been very successful with government applications and have gotten a lot of grant money and we applaud you for it. Ninety percent of the giving in this country is done by individuals. Eight percent comes from foundations and corporations, and the other 1 to 2 percent come m the federal government. While they are the hardest to raise, the payoffs are relatively . all.

There are also corporations and foundations, especially those who don't have any tie to your organization. We put those on one of the outside circles on the target. I've said that individuals account for 90 percent of the gifts. Corporations and foundations however have been very supportive of higher education. In 1989 and 1990 they accounted for 42 percent of all voluntary support to higher education, but that support has not held true for libraries. Of all voluntary support designated to current operations for academic libraries in 1990, 50 percent was from individuals, 40 percent was from foundations, and only 10 percent was from corporations. Remember the statistic I presented earlier: 1 percent of that voluntary support goes to libraries. The corporations are accounting for 10 percent of that 1 percent – it is a very small number. Still, there are obviously some corporations and foundations that have ties to your organization, and it makes sense to spend time on them.

I have two brief strategies to recommend. One is to work with the development office, central development office specialists, or administrators who can help you with those corporations and foundations through their contacts. In terms of an individual strategy in the library, think of creative partnerships rather than more traditional fund raising techniques. Corporations are not traditionally philanthropic organizations, they are in it for other reasons, and talking about partnerships speaks their language.

There are people who have an interest in libraries. Bibliophiles, especially wealthy collectors are obviously good prospects. The problem with bibliophiles is that while their personal interests may align with yours, their energies and wealth may be concentrated on their own personal collections. It is still appropriate to build relationships with the key collectors in your area.

Gift-in-kind donors have shown an intention to give to the library, and they probably just need to be educated about the importance of giving cash along with their gifts in kind. Friends and acquaintances of your donors can also be good prospects and you can enlist your donors' help in contacting them. The center of the target is always past givers (see figure 7, page 27) and friends, not necessarily friends of the library but other people who are close to you as well as people in the organizations. Our best prospects are usually right under our noses. You know who they are and the idea is to spend most of your time with them.

We have identified some good prospects using MAGIC and using our target. What now? Development is a carefully orchestrated effort of identifying, involving, cultivating and soliciting prospects. We call this the development cycle. The only element of a successful fund raiser that is not included in our definition is stewardship, which is the careful nurturing of donors and their funds after they have given. Like MAGIC, it can be a useful scheme to keep in mind while planning development strategies about individual prospects. That should help with next step that might be taken in a relationship with the prospect. Once these prospects have been identified, the heart of the development effort is simply to develop individual cultivation strategies for each prospect and see them through this cycle, hopefully toward a gift.

When the time comes to ask for a gift, keep these questions in mind: who asks what of whom, with what method, and with what effect. This is based on the well-known question that communication theorists use—who says what to whom, with what method, and with what effect. Who should ask the prospect for a gift? In most cases, the kind of fund raising we are talking about would involve the library director with the development officer or volunteer asking for the gift. What form should the gift opportunity take? Might they be interested in a naming opportunity in a building or endowing a collection? What would be attractive to the the donor? And what method should be used to ask the prospect? There are three choices: mail, phone, or face-to-face. Major gift solicitation is almost always face-to-face. The more personal the method, the better. Mail and phone would be reserved for smaller annual funds. And it's a good idea to keep in mind the unique characteristics of the prospect when you're thinking about this. What are the interests of the prospect, what is their past history with the institution, what would be the most comfortable setting in which to solicit them?

To sum up the development strategy, identify prospects with MAGIC, create attractive giving opportunities, and then begin developing strategies one-by-one. That is the core of what goes on. Once we have identified a prospect and developed this relationship and we are ready to ask for money, how do we know when they are ready to be asked? I am going to turn the floor over to Vicky for the rest of the discussion. Thank you.

MS. STEELE: People sometimes ask me, "How do you know when to ask and what do you say when you ask?" This is a murky area. So Steve and I developed some guidelines for these questions (see figure 8, page 27).

How does one know when to ask? We developed a whole methodology for conducting the later stages of cultivation and solicitation so one basically knows where he or she stands and when to ask. Unfortunately we don't have time to go into this in any detail this morning, but briefly what we do is dissect what goes on in the development call into three things: giving information, getting information, and getting commitment. And we describe four different kinds of questioning techniques that will uncover attitudes and feelings and help fund raisers figure out where they are in the process.

Here are some other things to look at when determining the right time to ask for a gift. Has a reciprocal context been created? A reciprocal context exists when development officers and donors exchange things. For example, the prospective donor may have given the development officer some advice, or the donor may have introduced the officer to some important people, and in return, the development officer may have had the donor as a guest at several exclusive events, or invited him or her to be on the library's board. This type of exchange is important because it serves as a check against the impulse to take the prospective donor to lunch three times and then ask him or her for a gift. It is very important that this exchange has been going on.

Another psychological context important to successful solicitation is friendship or liking. People just naturally prefer to comply with the requests of people they know and like. There is one caveat to this, though, and that is to be careful not to give someone the impression of building a friendship and then violate the rules by which true friends interact. Keep that institutional and personal boundary clear, and act when the relationship is mature. This takes time. There is one rule of thumb that some development officers use and that is the idea that most major gifts require 13 contacts over approximately 22 months. We never are that formulaic in our approach, but we should always keep in mind that major solicitations do take time. Mega gifts, those multi-million dollar gifts, take much longer. I know a dean who obtained a $20 million gift for his university and when I asked him how he did it, he said, "Simple – we cultivated him for 20 years."

Relationships mature as time passes. As this time passes we try to build what we call incremental commitment. And the truth is that it is rare for solicitations to go any other way. In fact, fund raisers rarely "pop the question." It's much more likely to ask someone to consider discussing a gift or if they would consider a certain proposal, rather than asking outright and out-of-the-blue. In the end, use instinct. If it doesn't feel right, listen to this feeling because the potential may need more cultivation.

How do you ask for the gift? Let's say time has passed, an incremental commitment has been built, the strategy for who should ask what of whom, using what method, with what effect has been formulated. Many successful fund raisers rehearse their solicitations. At the very least I like to plan who will say what, and I always prepare in advance at least one of each of the four types of questions I referred to earlier, which have to do with confirming that the person is still interested in doing whatever it is by eliciting new information and checking attitudes and feelings. When you ask, we recommend using the word "consider," as in, "Would you consider making a gift of $500,000," or "As you know, we're trying to raise $4 million, and we were hoping you would consider giving us $1 million."

We recommend asking for a specific amount. In terms of how much to ask for, using our method should provide a fairly good idea of what figure will be within the range of possibility, and there probably will be some research to back that up from the development officer. Even so, sometimes it may be difficult to determine a specific gift amount and the fund raiser must make an educated guess. Ask high, but don't go overboard, and then openly discuss what amount is agreeable with the donor.

Finally, our development strategist evaluates the fund raising effort. Almost every evaluation method for fund raising looks solely at dollars raised, usually per annum and often in relation to previous years and/or in relation to other institutions. We don't like this for several reasons. First of all, it focuses too much on the bottom line and encourages a "whatever it takes" approach. Second, comparisons to other institutions violate the uniqueness principle. Third, such approaches fail to take into account all kinds of external factors that affect gift income. For example, something you have done may pave the way for a gift 10 years down the road, or you may be lucky enough to have a gift come in that was really the result of somebody else's efforts. Other external factors, like a scandal in the President's office or even the state of the national economy, sometimes affect giving.

Earlier we said that the goal of the development program was to enhance the organization's independence. So we like an approach that uses these criteria: 1. dollar totals and gift utility; 2. time frame longer than a year; and 3. process in addition to outcome (see figure 9, page 28). By gift utility we mean the extent to which a gift aligns with the organization's goals (so a $100,000 gift for a high-priority development area might be weighted more than a $500,000 gift for a tangential program). We like to think in terms of three- to five-year time frames and we like to look at process as well as outcome, because we care about deepening our relationship with our donors.

The library leader, using some of the techniques we've presented, has a good chance of being a successful fund raiser. The library leader using it in the context of an ethical framework, will be a confident, stylish, even enthusiastic fund raiser.

MS. NUTTER: Thank you. We will now have an opportunity to have discussions with the speakers. We will break into three discussion groups to address questions and concerns.

Break out sessions were not recorded.

Tenets of library development

1. Depends on leadership of director
2. Operates on uniqueness principle
3. Avoids broad base of donors fallacy.
4. Rejects sales and marketing approaches in favor of two-way, balanced approach.

FIGURE 1

The Uniqueness Principle

is always at work in...

- your library
- your university
- your traditions
- your setting
- your donors and relationships
- YOU!

FIGURE 2

The challenge...

Charitable organizations face a double-edged sword: In order to enhance their autonomy, they must seek external funding to support their institutional goals, but in so doing, they risk losing autonomy by accepting gifts that limit their power to determine goals and the means of pursuing those goals.

Kathleen Kelly
Fund Raising and Public Relations: A Critical Analysis

FIGURE 3

A development strategist...

1. Knows the library's niche.
2. Has a strategic plan.
3. Builds a good development team.
4. Identifies prospects with MAGIC.
5. Develops individual cultivation strategies and sees them through.
6. Evaluates the development effort.

FIGURE 4

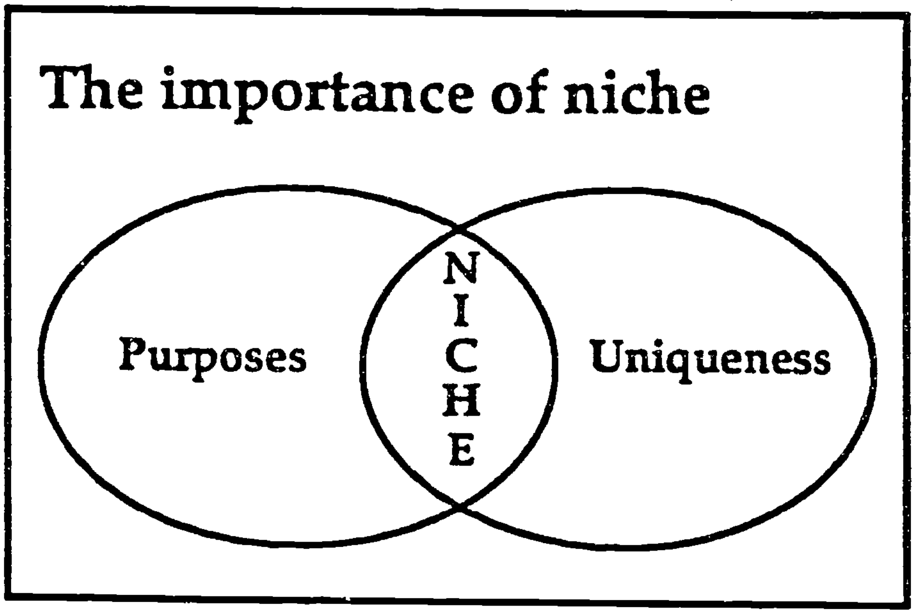

FIGURE 5

Using prospect *MAGIC*

Means?

Age and heirs?

Giver?

Involved?

Contacts?

FIGURE 6

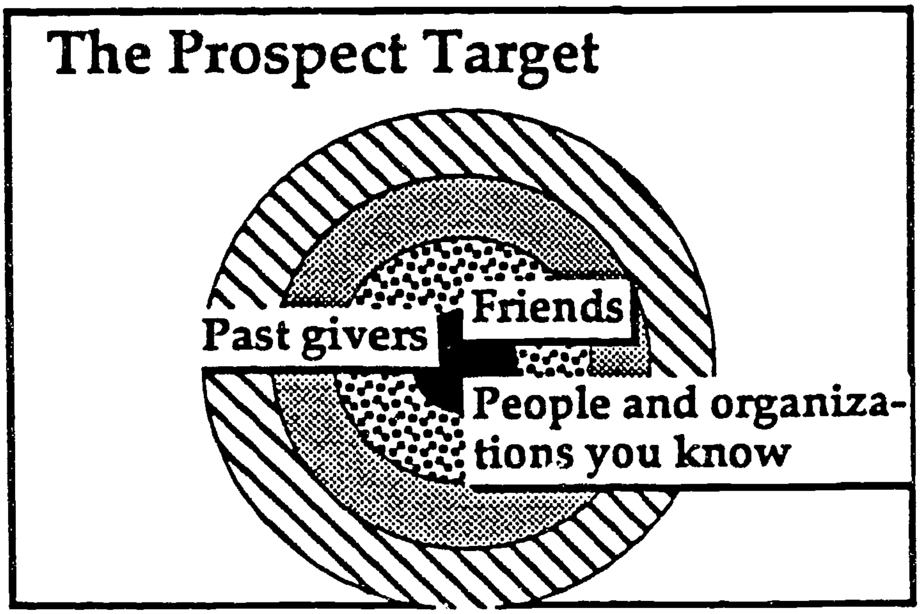

FIGURE 7

How do you know when to ask?

- create a reciprocal context
- foster friendship / liking
- act when the relationship is mature
- use your instinct

FIGURE 8

Evaluate based on...

1. Dollar totals <u>and</u> gift utility
2. Time frame longer than a year
3. <u>Process</u> in addition to outcome

FIGURE 9

LUNCHEON SESSION

INTRODUCTION

Moderator: Marilyn J. Sharrow
University of California, Davis

MS. SHARROW: This program is a continuation of ARL's commitment to keeping directors abreast of current international librarianship activities. In 1989 we held a joint meeting with SCONUL at York University in England. We held a synergy session two years ago at IFLA, and the upcoming Pacific Rim program planned for the 1993 ARL Membership Meeting in Hawaii should be an exciting one. In the scope of collections and in the depth of the research, ARL libraries are a' world-class. It is important, therefore, for ARL directors to play an active role in the events that are unfolding worldwide which affect our libraries.

Our speakers are from the United Kingdom and Australia. We invited Robert Wedgeworth, who is the first American IFLA president in many years, but at the last minute he was unable to be with us. He has asked Duane Webster to present his remarks.

Our first guest is John Michael Smethurst. Since 1964 Michael Smethurst has worked as an academic librarian and has had successive appointments as librarian at Beaks College, University of Durham, and the Institute of Education, University of Newcastle. He became Deputy Librarian at the University of Glasgow in 1969 and University Librarian at Aberdeen from 1972 to 1986. From 1986 until now he has held the position of Director General of London Services, formerly the Humanities and Social Sciences at the British Library. Michael is an associate of the Library Association and a fellow of the Royal Society of Arts. He has played an active role in furthering the concerns of professional librarianship for many years, with particular interest in government funding for libraries, national coordination of resources, library automation, and library building. A past president of the Scottish Library Association, he was chairman of the Library and Information Services Council in Scotland from 1982 to 1986. He's been a trustee of the National Library of Scotland, chairman of the Standing Committee of National and University Libraries, chairman of various scholarly committees and a member of the British Council of Libraries Advisory Committee. He is currently the chair of the international committee of the ESTC and the president of LIBER, the Ligue des Bibliothèques Européennes de Recherche.

Our second distinguished visitor is Colin Steele. He is the University Librarian of the Australian National University, a position that he has held since 1980. Prior to that he was Deputy Librarian at that same institution, and Assistant Librarian of the Wilder Library at Oxford from 1967 to 1976. He is on the editorial board of a number of international journals including *The Electronic Library, The Journal of Librarianship,* and *Australian Academic and Research Libraries.* He has written and/or edited five books and has published more than 200 reviews and articles. Most recently, he contributed to *Librarianship and Information Work Worldwide,* in which he wrote a chapter on academic libraries. He has addressed international conferences all over the world, and he has been a General Councellor of the Australian Library Information Association.

INTERNATIONAL LIBRARY ISSUES LUNCHEON

Panel:

Michael Smethurst
The British Library

Colin Steele
The Australian National University

Robert Wedgeworth
International Federation of Library Associations and Institutions
(Discussion of Remarks by Duane Webster)

MR. SMETHURST: It is a great pleasure to be here in Charleston. I bring greetings from the British librarians. I wish I could say that we were all just peachy, but we have got a few problems that I will address in terms of challenges.

Duane Webster expressed very clearly in his paper the challenges facing research libraries, summarizing the critical issues that face us all. I start not by rehearsing those challenges, but by saying that while the challenges are not absolutely identical in Britain our responses are, for the most part, very much the same. But in Britain there are also a number of additional problems and challenges facing university librarians.

There is an instability in the higher educational system at present and it is going through a period of great change with the new Education Act. The effect of the university and polytechnic institute restructuring is still being worked out and evaluated in terms of its effect on the universities and higher education institutions and the libraries serving them over the next five to ten years. That is coupled with the yet fully unexplored and calculated effect of changing funding patterns for universities. An example of this is that the new resources for supporting teaching are falling dramatically and at the same time universities are facing large growth in student numbers.

Another challenge that we are suffering from in the library world has been present in the British government for approximately 13 years: public services are required to create more of their own revenue and to be less dependent upon taxpayers' funding. The shift to the "enterprise culture," as it is known in Britain, continues and with it there is coming a recognizable permanent shift in fund raising philosophy.

The new education act upgraded the polytechnic institutions and is going to double the number of universities over the next few years. On the other hand, research funding is now more selective than the old dual funding system in which the university grant committee obtained research funding and supported the total work of the library, as well as its own particular teaching funding. Where the two were never before separated, they are now being separated, and research funding is being applied separately on the basis of research merit. We have an immediate problem at least as the shape of higher education changes.

At its annual conference SCONUL was addressed by a university vice-chancellor who said in a very gloomy, yet realistic, speech that over the next few years we would see a decrease in university libraries and research universities. A small group of universities will tend to be very well-funded research universities. A much larger group of universities will be moderately well-funded but not as well-funded as teaching and research universities, and finally, there will be an even larger group of "teaching only" universities. Over the next ten years we will see a massive jockeying of positions at universities as they discover whether they will be in the super league, the middle league, or at the bottom of the heap.

Whatever structure emerges, it is almost certain that unless there is a fundamental policy shift the unit of teaching support will decline rapidly. And unless libraries themselves modify their activities, they are going to be faced with much lower funds to support even more work. The position, in respect to funding for humanities research, is particularly threatened. Much of the funding for humanities comes from the general funding available to universities. That is the budget that is going to be allotted to the university's teaching element. The problems of maintaining long hours and providing basic library services to undergraduates are going to be severely heightened as the effectiveness of the policies that we have used in the past is diminished and resources are reduced. This is going to require libraries to find new solutions to perennial problems, by showing a better use of resources through a highly interdependent use of networking through new technology.

We in the British Library share these challenges. We are seeking new responses to them. In the British Library much of our thinking lies in developing a new strategic plan which the entire library will use through the 21st century. We are doing that in the context of the changing world of higher education and research. We are also planning for our new building, which should be completed in 1996, but will be ready for use early in 1994.

The heart of our strategy is to provide improved access to our collections, both to the reader who visits the library for reference purposes and to the remote user who uses both our reference services and our document collections. We're investing heavily in automating both to develop a single point of access to these collections and to develop the on-line public access catalog system. Our hope is to have approximately 95 percent of our total holdings on the On Line Public Access Catalog (OPAC) system by the turn of the century. In addition, we are improving our infrastructure at the same time through much heavier automation in the traditional part of the library, housekeeping routines and other work aspects, including a much improved management information system.

What is the purpose of this emphasis on technology and access? The purpose is to seek new collaborative and practical working arrangements with other libraries both in the UK and abroad to help solve some of our problems. We certainly are aiming to maintain preeminence: in our mission statement we describe ourselves as the world's leading research library. We had a lovely debate when we used that phrase, someone on our own Board said, "What about the Library of Congress, I thought that merits the title of the world's leading research library?" So we will have that in common with the Library of Congress.

In terms of our mission statement, we are looking to act as a central point of British libraries and British research library activity, and also to exercise an essential role in Europe acting as a hub between Europe and our colleagues on this side of the Atlantic. We have made steady progress in recent years in consolidating our position while at the same time providing more effective access to our incomparable collections. And we have done this at a time when our budget is severely strained by the active planning and execution of already existing programs for the move to the new building. We're spending approximately 6 million pounds a year to actually get the library into the new building. The new building, itself, despite what you may have read in the press or what you have been writing to each other through the e-mail in the United States is, in fact, superb. It is a marvelous building and presents some great opportunities for the future. We will be bringing collections that are presently distributed over 18 sites in London to that one building . The improvement of service that will result is self-evident. We will be housing the collection in an environment of controlled temperature and humidity. And unlike the French, we put our stores in the basement rather than up in the air. We believe books are rather like old wine and should be kept in cool temperatures.

We have already invested heavily in automation. We put our pre-1975 catalog into a machine-readable form at the cost of approximately 2 million pounds over five years. We are looking for commercial partners who will help to share some of the cost burden. We have also just contracted for the conversion of our music catalogs, and only last week I signed a contract with a publisher for the conversion of our map catalogs, which will be completed in five years.

We seek to improve bibliographic records as we go along. We have been affected by some very hard and unpopular decisions. The first of these, and one that is most far reaching, is that our catalogs are designed to work through the OPAC system, to carry the information needed to permit rapid retrieval from the stacks. The concept of the bibliographic catalog as the primary tool of the library is being replaced with one in which the catalog is the working listing that operates on the stored collections, retrieving them as rapidly as possible.

At the same time we follow a policy of selectively adding value to records for the sake of scholarship and to make them suitable for bibliographic research. We are taking as our model the 18th Century Short Title Catalog (ESTC), which we developed with our partners in California. It is a very successful tool and is already on RLIN and is available to you through that network.

We have planned an expansion of the STC to include all British printing to the early 19th Century, covering the Bibliographical Society's Short Title Catalog and Wing. We are already starting work on that in America and in the United Kingdom. We have put on some of our own records from the Short Title Catalog, and Henry Snyder at the University of California at Riverside has already begun working on the university microfilm for the same period. So a practical and cost-effective partnership between us, British libraries, and the libraries of the United States to help improve our bibliographic information, particularly of the English printed archives, is already well underway.

We are also looking to Europe with new initiatives and seeking to play a leading role in the developments in Europe. We had two successful meetings that Dr. Katwasser of the Bavarian State Library and I arranged with the leading university and research librarians in Munich two years ago last Christmas. In between those meetings we had a working party that addressed retrospective cataloging of European research libraries and the retrospective records conversion. The result, I'm very pleased to announce, is that we established and had our first meeting last month in Paris, of a European consortium for research libraries to create and manage a European database of bibliographical records, which will be networked and will relate to the hand-printed book era prior to 1830.

Those who know the European library scene will realize the great achievement we have managed with this. There are 18 libraries that founded this group, each paying an initial sum to do some development work over the next 12 months. It will address, among other things, who should be the host for the database. We have founded the consortium along the lines of RLG. We want to have libraries as well as institutions represented.

We have also taken a bold and imaginative step with the British Library becoming a full member of RLG. I see new opportunities for collaborating through RLG on the common problems of access, bibliographic records, resource sharing, conservation, to name a few. I hope to play a full part in the RLG discussions and in the program development. We have the technology at our disposal to make the world a smaller place. The networks that we establish and support will reach out to the United States and Canada, as well as to Europe and the United Kingdom.

We looked at practical collaboration programs in other ways. We have received a very generous grant from The Andrew W. Mellon Foundation to microfilm materials from the 19th-century British heritage. We have begun the first stage, starting microfilming programs at the National Library of Scotland; Wales; Trinity College, Dublin; Bodleian; and Cambridge. Each library is microfilming its 19th-century collections. We are recording these records in the national register of microfilm masters. We are now just about to launch into a second phase in which we are encouraging all our major research libraries to come and help in the creation of a surrogate record for the material that is most at risk in our own libraries. And again, we are looking to what others are doing in the States to help share that burden. There is absolutely no point in both of us microfilming the same material. We ought to share the burden, and the only way to do it is through a practical program such as the one we are trying to implement.

We have collaborated with the other deposit libraries in Britain to try to improve Britain's information output. Following a report that we did in the British Library two years ago, we looked at potential acquisition policies in a way to rationalize the total British archive.

And finally, we have tried to accomplish this by looking at our strategy of improved access and development of new methods of working with our scholars and readers. We were very fortunate to secure a million-pound donation last year from an American benefactor to create a center for American studies in the British Library. We are hoping to fund intensive work by scholars from our own country and from abroad to make better known our unique collection of American materials, which we have been steadily building up over a number of years. In the past few years, it has grown greatly with the support of American Trust for the British Library. We have the support of the Fulbright Commission and we have invited a number of Eastern European scholars to work on the collection. We hope next year to offer a Fulbright Scholarship to allow American librarians to work with us for a year on the bibliographical work we need to undertake to make the collections more accessible.

I hope I have convinced you that the British Library sees great opportunities for collaboration, and we see those opportunities particularly with the great research libraries in the United States. I am sure it has been most timely from my point of view and most appropriate in terms of our own program, for we have a common heritage, a common cause. I hope that our initiatives will be matters of interest and value to you and particularly to your readers, many of whom use our library regularly and get frustrated because we are not more efficient. They expect us to be more efficient and also expect us to maintain what I think is our proper role, the most comprehensive of all great research libraries, because we have so much unique material that must be made more accessible. That is our aim for the next five years. The building will certainly assist greatly in achieving that goal. Thank you very much. If there are any questions, I'll be pleased to answer them.

UNIDENTIFIED SPEAKER: I'm wondering how you have used OCLC with the British Library and what you see as its goals?

MR. SMETHURST: We use OCLC to examine records, particularly in my area of reference collections, largely for foreign language material, for the records in European collections (German, French), and also for some of our Eastern collections. We use them extensively, and we will continue to use them. What we're looking for with our connection with RLIN are other sources of records for downloading and contributions with other data bases. Boston Spa is working closely with OCLC to see how its document delivery services can be useful, too. We are not exclusive: we are looking for contacts.

UNIDENTIFIED SPEAKER: Do you have any connection with the European Consortium of Libraries? You said you're going to model your consortium after the RLG. Have you thought about what kind of a networking system you're going to put in or will you grow your own, or will you adopt something?

MR. SMETHURST: I think we will adopt something. Our job over the next six months is to analyze the cost and the benefits of various hosts that we might work with and various systems we might use and adapt for our needs. We set up a system, and we have set up the 12 major aims of the database. The standard that we are looking for is a step standard where at one level we will accept low-level records, but where we are ultimately working toward a high-level record that will be in UNIMARC format and will be an ISBDA standard. We will accept records below that level because every library is beginning a retrospective conversion and many are working from poor records. I hope that they will be able to use records that we already have. For example, the British Library catalog, although it doesn't conform to those standards, is a very good baseline for people to take a record, expand it, and bring it up to the standard. We are hoping, for example, that each European country will take particular care of its own national records. But what is an international record? There is not an answer to the question of standards unless we are prepared to be pragmatic.

UNIDENTIFIED SPEAKER: Is there any truth to the reports that charging for admission to your reading room is being contemplated?

MR. SMETHURST: We last debated this some four years ago. The British Library Board then turned it down. But certainly we would want to look at it before we moved into St. Pancras, and we're due to look at it again in the autumn.

The line that we're taking at the senior management level is that the time is not right to charge for admission, that we would want guarantees that we were not going to lose money by doing so. It got complicated because the other school of thought that says we should charge for admission has calculated that we could reclaim the cost if we become a commercial library charging for admission.

The difficulty that we have is convincing our paymasters and political masters that we do not believe that that million pounds would necessarily come to us for more than a year before it would be knocked off our grant in aid from government. What we have seen over the recent years is an increase in revenue earning to 30 percent of our total expenditure. Our grant in aid, which is the other 70 percent (it used to be approximately 80 percent), has actually fallen in real terms. We see a straight line expenditure level and a declining grant in aid. And we are not going to buy charging admission as the solution because it will not bring in the money necessary to ensure that we are properly funded.

There is much more at stake, and that is an important principle. We have always been a free access library, the British Museum Library was set up as a free library. Panizzi, the greatest of all our librarians, said he wanted the British Library to provide for the poorest student the greatest library that the richest man could afford. I think that's a noble sentiment and one that hasn't been changed in my view until today. I shall never vote to charge.

MR. STEELE: Thank you for the opportunity to speak today. I would like to reaffirm the strong links between Australia and the United States, which have been exemplified in a number of visits to Australian libraries in recent years by American librarians including Richard Gennaro, Sue Martin, Patricia Battin, and Peter Lyman. My remarks represent my personal views and not those of the Committee of Australian University Librarians (CAUL).

Australia has about 17 million people in a land mass continent the size of the continental United States, and its heritage, since European settlement in 1788, has been decidedly European with particular accent on the Anglo-Saxon or Celtic immigration. For the first time last year, the migrant intake passed that of the United Kingdom from Asia, reflecting not only a migrant policy, but also a decided policy by the Australia government to which the British tabloids have taken great play with to focus more on Asia.

The main library organizations tend to focus on Canberra, the national capital, but unlike London and the British Library, it doesn't have a large population, it has about 300,000 people. This affects the nature of organizations in terms of user traffic (i.e., the National Library of Australia vis-a-vis the Library of Congress or the British Library).

The principal library organizations are the Australia Library Information Association (ALIA), the Australian Council of Libraries and Information Services (ACLIS), and the National Library of Australia. These organizations are based in Canberra, thus leading to comments of isolationism from those in the far and distant places of Australia, such as Western Australia and the Northern Territory.

The major concentration of research materials is now in the university libraries in Australia. The state libraries with user budgets for materials now tend to be focusing on the state's collections. The National Library of Australia only spends about $6.5 million on acquisitions out of a total budget of $44 million. I think it should be higher, but I will not go into why that is--there is a never-ending universe of debate about that. Thus, the university libraries together hold the major concentration of research materials. And the problems they face are very similar to those faced in U.S. research libraries in terms of information and access and continuing budget squeezes.

Like Britain, the Australian higher education scene has changed dramatically. In 1988 the Australian colleges of education became universities, either by a change in name or by "forced" amalgamation using carrots and sticks to bring that about. As a result a lot of former colleges with a technological bias have now taken on Ph.D. programs in wider research fields, but, of course, usually without any increased infrastructure or funding.

The Australian government has taken to making annual cuts, which it euphemistically calls "productivity bonuses," of about one percent per year. CAUL statistics show that, as with ARL statistics, staffing and resources have gone down, whereas output measures such as library circulation have increased. The average percentage of the university share for librarians across the county in resource allocation is 7.2 percent of the total budget. It tends to be larger in the smaller universities.

There was a *Review of Higher Education Libraries* in 1990, chaired by Professor Ian Russ, former Deputy Vice-Chancellor at the Australian National University. It appeared in 1991, and it basically said a lot of sensible things. It recommended that $500,000 a year be granted federally to libraries for three years to support what is called, in Australia, the "Distributed National Collection," a concept that came out of the Australian Library Summit of 1988. To that extent, the "Distributed National Collection" is based on a recording of data in the National Bibliographic Database, and also on a conspectus. In hindsight, the question of access and delivery was probably not as significant as it should have been, particularly in an electronic context.

The National Bibliographic Database, with which many of you may be familiar, now contains more than 14 million holdings as of January 1992. But it is basically a system relying on 1970s technology, and the academics cannot dial into it easily. It is very cumbersome, and clearly, many of us will be using the National Libraries DYNIX system to access their data directly.

The Australia Academic Research Network (AARNet) has been the most significant revolution as far as libraries are concerned. It is very similar to JANET in Britain and the INTERNET in the United States. The Australian Academic Research Network reports to and is funded by the Australian Vice-Chancellor's Committee, which has just established a committee on information resources that has libraries, computing centers, and the network all reporting to one focal point. AARNet means that we can now be independent of geography because we can go into CARL, to RLG's Citadel, and other document suppliers very quickly with no telecommunications costs except the cost of documents supplied. We have a number of institutions that have already installed ARIEL for example. However, it raises questions such as, "Why should we go to CARL for Australian material, where we can see Australian title pages and get documents within 24 hours, when no such service exists in Australia?" The mind change that follows in terms of access and delivery mechanisms is evident. It also provides an opportunity for Asia. We have very large Indonesian and Chinese collections. Romanizing the Chinese serials data and monitoring Indonesian material could be available to American libraries via the INTERNET. This takes the global research library context a lot further in a more practical sense and allows for globally distributed national collections.

Finally, I would like to discuss some Australian electronic library developments. These are outside of national database initiatives such as mounting services like ISI or Embase; and Campus-wide Information System Developments (CWIS), which are well-known to ARL libraries. We have tended to bridge our distance gap by tapping into a lot of satellite services which we provide in the Australian National Library. Thus we can view and tape live Indonesian, Japanese, Chinese, Russian, and French television. We tape the news every night and make those available through our closed reserve systems.

We have also provided free access to databases relevant to our region such as the Nikkei Japanese database, 70 percent of which is English; the Reuters database; and an International Economic Database (IEDB), which combines World Bank, OECD, and United Nations data so scholars can use them for statistical and economical analysis.

If you think you have problems with inflation, the Australian dollar is worth three-quarters of an American dollar. The representatives of firms like Faxon, EBSCO, and

Blackwell, which are established in Australia, are somewhat remote from the "electronic action," so we need to concentrate on a direct liaison with the new initiatives of the scientific publishers.

To sum up, Australia is a microcosm of the world scene very much connected with the network activities, very much involved in electronic information access, and trying to focus on material relating to the Asia-Pacific region and on document supply there in the future. We think there is a great potential for working with ARL on activities in Asia and the Pacific at the Spring 1993 meeting in Hawaii. In that context, we would welcome any one to come down to Australia from Hawaii.

UNIDENTIFIED SPEAKER: What happened to Bond University?

MR. STEELE: Bond University was the one in which the Memex group went to work on the electronic library concept, but the money ran out. Their concept of the "E-library" was undoubtedly valid. It is a pity that they were not able to bring some of their work to a conclusion.

But as Mr. Bond lost his money, the Japanese took over more and more of the university. It is now 100 percent Japanese owned and is now a very small college with almost 1,200 students and a very restricted base of economic and commercial studies.

MR. WEBSTER: Robert Wedgeworth regretted that he wasn't able to join us today, but he's facing a crucial meeting of the faculty committee that is managing the transition of the library school from Columbia to the City University of New York. An emergency meeting was called for today and it was impossible for him to decline. He had looked forward to this meeting and to discussing development, in part because he wanted to thank the Association and its membership for their support, which helped him win the election as IFLA President. This was the election that took place in Moscow last year and it represents the first librarian from North America to serve as IFLA president since William Warner Bishop served many years ago. It represents a stage in IFLA's development, marked by a broader world view and a readiness to include and, in fact, encourage North American involvement in the organization as it sets its new agenda.

In Robert's statement (see page 42 for full text), he made several observations about the development of international librarianship, and he outlines an agenda that he hopes we might join with him in advocating. I will briefly go through his remarks, and if there are questions at the end, I will try to respond to them. He notes:

This is a crucial time for North America to assert its leadership in IFLA. A worldwide recession inhibits library development in most parts of the world. This is especially true for developing countries where persistent low prices for the commodities that comprise most of their gross domestic product have limited these countries' abilities to support different educational social services, as well as central government functions. At the same time, major political changes are reshaping the map of Eastern Europe, resulting in the need to rebuild crucial information structures that are necessary for the survival of these emerging democracies.

He notes that ARL has been very active in documenting how the cost of library materials, especially scientific journals, continues to increase at stunning rates, resulting in a reshaping of library budgets. And finally he observes that education for library and information professionals is undergoing the third major set of reviews in this century. The first was the 1923 Williamson Study asserting the importance of graduate professional education for librarians, and the second the change to the MS as the entry-level degree for our profession in 1950.

While we can point to illustrations of these observations in all areas of this continent in which the great institutions we represent reside, we do not often focus on the fact that these problems are indeed international problems. Although many national associations are actively involved in addressing international issues, the predominant organization involved in international librarianship has been for some time the International Federation of Library

Associations, IFLA, founded in 1927 and representing almost 1,300 members in more than 130 countries worldwide.

Like most associations, IFLA's greatest strength, the breadth of representation of libraries and librarianship around the world, is also the source of its greatest weakness. It is difficult to achieve consensus on those problems or issues that require coherent efforts at any given point in time. The selection of priorities generally comes from the expressions of the will of the members of the organization. Robert points out that his major reason for addressing you is to stimulate ARL library leaders to be more actively involved in helping to set IFLA priorities. North American associations and institutions have had a powerful influence on the development of our field internationally, through innovative advances in our operations and the quality of leadership that individual professionals have brought to our field. As institutions in other countries develop greater sophistication and as formal educational programs produce a stronger category of information professionals in other regions of the world, we will need to develop a stronger basis for asserting North American leadership in the future.

Robert makes several suggestions for buildings this agenda. First he notes that IFLA has never developed a close relationship with library product and service suppliers. Over the years he points out that ALA, SLA, MLA, and even occasionally ARL have worked with companies and organization to set standards, lobby for funding, and consult on terms and conditions for the design and delivery of information, products, and services.

He also notes that many of the major companies and organizations involved internationally have a new generation of leaders, many of whom have little background in or understanding of our field. Book sellers, subscription agents, software and hardware companies are commonly represented at our association meetings but less frequently appear at IFLA. With ARL's support and assistance, he proposes the development of a consultative mechanism to bring these constituencies together to plan future developments that are of mutual interest. He goes on to solicit ideas and suggestions of how such a mechanism might be established.

Second, Robert proposes what he calls a re-education and updating of our constituents about the nature of libraries and librarianship in other parts of the world. We need to begin to prepare a new generation for leadership in North America and to update the information of our current leadership with respect to the changes that have taken place in major areas of the library world.

Advances in librarianship in Europe, Asia, Africa, and Oceana are not completely reported in our literature, and therefore if we are to be effective in our leadership of an international library world there needs to be a more concerted effort to improve our information base. Having been involved in documenting the field throughout most of his career, Robert recognizes that nothing takes the place of in-depth, on-site visits to operating institutions and direct consultations with our colleagues in their home institutions to secure that better understanding of what we read in the literature. The operations of libraries and the education of personnel should be a principal interest. Perhaps, Robert suggests, an ARL study tour for interested individuals would be possible. I wonder where the money's supposed to come from? But I'd certainly like to see Australia, on an ARL study tour.

Finally, Robert notes that each year graduates of ARL institutions return to their home countries where there are serious limitations on access to information and support of their work. In most cases new or expanded libraries are not feasible options for them. Personal frustration and inhibited productivity greatly diminish the excitement they bring from their North American experiences. Although major funding to improve library services internationally is beyond the foreseeable future, perhaps more limited initiatives are not. Special reference networks, special deposit collections of records and research materials or other targeted assistance might be available options for which funding could be available as components of foreign aid in selective fields. Building a new generation of friends and cooperative networks around the world should begin with each graduate who knows us best. All of these activities are likely to build greater interest in IFLA and promote IFLA's usefulness to our interests.

Robert closed his comments by emphasizing that he hopes that if nothing else occurs during his tenure as IFLA president he would take pride in having helped to stimulate more

ARL members to take an active interest in shaping IFLA programs to meet international needs of major interest in North America.

I will pause at this point to address any questions about Robert's statement, IFLA and its plans or directions, or questions about how to get involved in the organization. IFLA does meet in New Delhi, India this year, during the last week in August. IFLA is an organization that has principally seen its mission in helping developing countries move into contemporary librarianship more quickly and more effectively. It has inevitably made it difficult for us to see a mutual benefit of active participation. As Robert points out in his paper, it is a large organization, focused on issues, and is therefore difficult to get consensus for action. But if it doesn't have leadership from some of the premiere libraries in the world then we can't expect the association to be more than an infrequent meeting of folks who do not have a clear-cut, definitive agenda.

MS. SCOTT: It is not quite fair to say that IFLA's main focus is on developing countries. This has not been particularly true in the past four or five years. In fact, it has had to force itself to shift from the concerns of organizing and coordinating European and North American aspects of librarianship, to focusing on developing countries. The other area where it is extremely important for North American librarians is the area of standards development, particularly in the area of new technology. But as was pointed out earlier, it is an international information world and the only way that that information world is going to get put together is through international standards and coordinated development. IFLA is a good forum for that.

MR. WEBSTER: Excellent point. There have been some significant achievements in bringing institutions and individuals together, and developing working relationships as a result of those contacts. It is a very rich arena for learning about other institutions, other leaders and practices in other countries that can benefit us.

Remarks by Robert Wedgeworth, President
International Federation of Library Associations & Institutions (IFLA)

I welcome this opportunity to address the 1992 membership meeting of the Association of Research Libraries. First, because it gives me an opportunity to thank the members of ARL for their support for my election as President of IFLA last August in Moscow. Second, because it gives me the opportunity to pick up the agenda developed by William Warner Bishop sixty years ago as the first American president of IFLA that in general involves stimulating and motivating the leadership in our community to be more actively involved in international library developments through IFLA.

Crucial Times

This is a crucial time for North America to assert its leadership in IFLA. We continue to observe how a worldwide recession inhibits library development in most parts of the world. This is especially true for developing countries where persistent low prices for commodities that comprise most of their gross domestic product have limited the abilities of these countries to support many different kinds of educational and social services as well as central functions of government. At the same time we have observed in 1991 how major political changes are reshaping the map of Eastern Europe resulting in the need to rebuild crucial institutions that are necessary for the survival of these emerging democracies.

ARL has been very active in documenting how the cost of library materials, especially scientific journals, continue to increase at stunning rates resulting in a reshaping of library budgets. And finally we observe that education for library and information professionals is undergoing the third major set of reviews in this century. The first was the 1923 Williamson study reasserting the importance of graduate professional education for librarians, and second was the change to the M.S. as the entry-level degree for our profession in 1950.

While we can point to illustrations of these observations in all areas of the continent in which the great institutions you represent reside, we do not often focus on the fact that these problems are, indeed, international problems. Although many national associations are actively involved in addressing international issues, the predominate organization involved in international librarianship has been for some time the International Federation of Library Associations and Institutions (IFLA), founded in 1927, representing almost 1,300 members in over 130 countries around the world. Like most associations, IFLA's greatest strength, breadth of its representation of libraries and librarianship around the world, is also the source of its greatest weakness. It is difficult to achieve consensus on those problems or issues that require coherent efforts at any given point in time. The selection of priorities generally comes from the expression of the will of the members of an organization and my major reason for addressing you is to stimulate the Association of Research Libraries to be more actively involved in helping to set agenda priorities for IFLA.

North American associations and institutions have had a powerful influence on the development of our field internationally, based on innovative advances in our operations and the quality of leadership that individual professionals have brought to our field. As institutions in other countries develop greater sophistication and as formal educational programs produce a stronger cadre of information professionals in other regions of the world, we will need to develop a stronger basis for asserting North American leadership.

Agenda Suggestions

Unlike ARL, IFLA has never developed a close working relationship with the suppliers of products and services to libraries. Over the years ALA, ARL, and other North American associations have worked with companies and organizations to set standards, lobby for funding, and, in general, consult on terms and conditions for the design and delivery of information products and services.

Many of the major companies and organizations involved internationally have a new generation of leaders, many of whom have little background or understanding of our field. Booksellers, subscription agents, and software and hardware companies are commonly represented at our association meetings, but less frequently appear at IFLA.

With the support and assistance of ARL, I would like to see a consultative mechanism develop to bring these constituencies together to plan future developments that are of mutual interest. Your ideas and suggestions for this mechanism would be appreciated.

Updating Information

Second, I recommend a re-education of our constituents about the nature of libraries and librarianship in other parts of the world that updates the information that we have developed in previous decades. We need to begin to prepare a new generation for leadership in North America and to update the information of our current leadership with respect to the changes that have taken place in major areas of the library world.

Advances in librarianship in Europe, Asia, Africa, and Oceania are not completely reported in our literature and therefore, if we are to be effective in our leadership of an international library world there needs to be more concerted efforts to improve our information base. Having been involved in documenting the field throughout most of my career in the production of a major work reporting on the status and condition of libraries and librarianship, I do recognize that nothing takes the place of in-depth, on-site visits to operating institutions and direct discussions with our colleagues in their home institutions. The operations of libraries and the education of personnel should be of principal interest. Perhaps, ARL study tours for interested individuals could be possible.

Access to Information

Finally, each year graduates of ARL institutions return to their home countries where there are serious limitations on access to information in support of their work. In most cases new or expanded libraries are not feasible options for them. Personal frustration and inhibited productivity greatly diminish the excitement they bring from their North American experiences.

Although major funding to improve library services internationally is beyond the foreseeable future, perhaps more limited initiatives are not. Special reference networks, special deposit collections of reference and research materials or other targeted assistance might be available options for which funding could be available as components of foreign aid in selected fields. Building a new generation of friends in cooperative networks around the world could begin with those graduates who know us best.

All of these activities are likely to promote greater interest in IFLA and how IFLA can be useful to our interests. It would be my hope that, if nothing else occurred during my tenure as IFLA President, I could take pride in having helped to stimulate more ARL members to take an active interest in shaping IFLA programs to meet international needs of major interest to North America.

Discussion Questions

How can ARL influence the design and delivery of information products and services?

1. High level discussion with information providers
2. Seminars on the library market
3. Special briefings for junior and mid-level information provider staff
4. Threats of government regulation of standards and ethics
5. Promote international standards and guidelines for ethical practices

How can ARL members update their knowledge of foreign library policies and practices?

1. Briefings by experts in ARL institutions

2. Attending IFLA conferences
3. Organized study tours
4. Seeking Fulbright Awards for teaching and study
5. Host visiting professional colleagues

Does ARL have an obligation to support foreign graduates' teaching and research? If so, how?

GENERAL PROGRAM SESSION II

FUND RAISING ROLE AND EXPECTATIONS OF THE LIBRARY DIRECTOR

INTRODUCTION

MS. NUTTER: Good afternoon. Our second program session focuses on the fund raising role and expectations of the library director. Among the topics to be addressed by our panel are the role of the director when the institution's program dictates a low-profile presence; managing a well-endowed program; the differences in the Canadian context; running a campaign within a campaign; and other issues. Once all four panelists have concluded their remarks, we will open the session to questions and discussion.

Penny Abell of Yale University will speak first. She will describe library development strategies as they differ from institution to institution. She will be followed by Norman Stevens of the University of Connecticut who will discuss dealing with a development environment that has been disorganized, lacking in clear direction, and at times has been less than supportive to individual initiatives. This, in a university which has mounted its very first capital campaign just very recently, in the late 1980s, and whose library's total endowment is less than $100,000.

Next, Jerry Campbell of Duke University will discuss how a director establishes a fund raising role for a research library and will describe an entrepreneurial yet ethical library director's fund raising role.

And finally, Ernie Ingles of the University of Alberta will present the Canadian perspective on fund raising programs. He describes the Canadian fund raising experience as young and explains that our Canadian colleagues are only beginning to explore such programs.

THE FUND RAISING ROLE AND EXPECTATIONS OF THE LIBRARY DIRECTOR

Panel:

Millicent Abell
Yale University

Norman Stevens
University of Connecticut

Jerry D. Campbell
Duke University

Ernie Ingles
University of Alberta

MS. ABELL: The first thing I want to do is to express my appreciation and gratitude to this morning's speakers for covering so many issues so well and in such a coherent and professional style. The time, as Susan has said, has now come for a few of to us provide our own peculiar idiosyncratic perspectives on the director's role. When I was first approached for this assignment I thought I was being asked to describe what life is like at a rich old place. Is it indeed nothing but an endless round of tea parties? Is my idea of paperwork writing lots of thank you notes? Are the day's tough decisions where to deposit that day's take? I said I didn't think that would be of general interest, and so I have been asked, as Susan said, to talk a little about library development strategies as they're related to institutional characteristics and traditions.

I believe that there is a level playing field for those of us to compete on for public funding, whether we're young or old, public or private. Success with foundations and corporations is a fascinating and fast-changing scene, which could be a stand-alone topic.

Of the many facets of library fund raising, I am going to be focusing primarily on raising gifts from individuals. It was mentioned, and certainly well-illustrated, that fund raising of this kind is against our nature. To many of us it smacks of begging, which since we were little tots, is tinged with shame. And it's not just we shy persons in librarianship who hold this view. However, I have observed that the principal difference between younger public institutions (as they get into fund raising) and the older private institutions that were founded with gifts is not so much the latter's highly organized development operations as much as the fact that they have no sense of shame.

Let me illustrate. I know a president (who will remain anonymous) of an old private institution in the Northeast. This president is an extraordinary gift getter, in part because he has not a shred of a sense of shame. He was once overheard in a telephone conversation with a prospective donor. His part of the conversation went like this: "Oh, no, Jack. Oh, no, no, no, Jack," he said. "I can't let you do that, I can't let you do that. If I were to accept a $5 million gift, when you and I both know you're capable of $10, you and I would always regret it."

On another occasion, the same president, in the presence of about 20 senior faculty and administrators around the dinner table, said over dessert to the guest of honor, "Now, Prince, we want to give you the opportunity to invest $20 million in our university's efforts to advance the study and understanding of your culture."

Now, we heard that one-on-one or maybe two-on-one contact is a good idea. But this president gave the big "ask" to the Prince with 20 people sitting around the table. Everyone around campus just buzzed for days after.

Shamelessness in fund raising is not necessarily evidence of faulty upbringing. Effectiveness arises from a powerful belief in the value of what we are seeking gifts for. That is our purpose for asking people to join with us in trying to make a difference. Effective fund raising is also based on a confidence that a donation is a deal between the donor and the recipient. It is not a gift; it is a deal, it is a contract. So we need a good sense of how to make that deal worthwhile to all parties. Directors of research libraries are born fund raisers. We may not always be the people who handle the "ask," but we have what it takes to direct a strategy.

I say this because we librarians are conscious, as a profession, of our powerful sense of libraries as important and just causes, and because we don't survive in our jobs unless we can play the game of "Let's Make a Deal." The other qualities that are required, as others have said, are patience and a high tolerance for uncertainty.

Finally, our willingness to involve colleagues to plant the flag with us is also important. I appreciate the notion that we ought to be the visionaries with others around us as the Sherpas, but sometimes there is a real question as to who's the Sherpa. I daresay a fair number of you in this room have acted as porters to your rare book librarians. There is no question that potential deals are heavily dependent upon institutional context. To illustrate, I'm going to compare the experience of UC-San Diego with Yale, the two institutions where I have had the most experience, and two institutions that couldn't be more different money-wise. I will list the differences (UC-San Diego and then Yale): public versus private, young versus old. UC-San Diego is building new buildings; Yale is repairing and renovating. UC-San Diego was built on a science foundation; Yale was built on a humanities core. UC-San Diego has few alumni of philanthropic age, while Yale has lots of alumni who are "people of means." UC-San Diego is in a large affluent urban area; Yale is in a small, poverty-stricken urban area. UC-San Diego is in Southern California; Yale is in New Englanc UC-San Diego has a fledgling development program, and Yale has a well-established institutional development program.

I would like to run very quickly through a few of the ways in which these characteristics make a difference, although I am sure that all of you have already discovered in your own context how much difference it makes to have a well-established body of alumni and a culture of giving.

The first contrast is public vs. private. I do not find the development task any easier in a public institution than in a private or vice versa, because they are, in my experience, so different. The public institution without question has a hard sell because so many potential donors expect public institutions to be fully supported by the state or by other sources of income and have difficulty in understanding the crucial importance of the additional money that comes from fund raising.

On the other hand, annual giving as well as major capital gifts, are an essential, vital revenue stream to the private institution. It is not a matter in the private institutions of occasionally going out and raising money for a particular project for enrichment, often the gift is just to support ongoing operations.

The young versus old distinction is important only in the subtext; for example, UCSD is a young institution and has very few alumni of philanthropic age. Therefore it is critically important to find other kinds of donor groups.

At UCSD, as is probably true at the Florida schools, throughout the Southwest, and in other parts of California, there is a very large, fairly affluent retiree community, individuals who may not have completely given all of their energy, interest, and attention away before they moved to our parts of the country. They often serve as extraordinary supporters in alumni groups, as long as we are able to convince them that their particular participation will make a difference.

Other institutions will find local business people with a particular connection to or identification with the institution. Look at the example of Carlton Rochell at New York University. He has a remarkable development record in what has got to be one of the most highly competitive fund-raising communities in the country. I don't know how he does it, but somehow he's found those people whom nobody else has found--people who are looking for a cause. He has enlisted them and has been very successful in his partnerships with them.

The third point of contrast is that of a fledgling development program and a well-established development program. There is great advantage to a well-established development program and to that culture of giving. No matter what kind of experience we may have had prior to going into the kind of jobs we're in right now, there is still so very much to learn about a particular community, about what works in that community, and about what has failed in that community. Much of what we do early in our tenure is learning from other campus and library staff and from those two or so development officers who stayed in their jobs for longer than two years. A well-established program is extremely important.

It does not necessarily follow that the library, for example, will be have a well-established priority within an institution with a well-established development program. Establishing fund raising priority for the library within our institutions is a constant activity.

That point recalls the main task of fund raising, whether you are trying to get funds from the allocation of state funds within your institution, or whether you are trying to raise funds by obtaining access to major donors. You have to work constantly at keeping your priorities in front of the people who can make the contacts for you and remind them of the attractiveness of the particular opportunity that you have within the library.

I will skip the rest of the list of institutional characteristics except to note the effect of a science foundation vs. a humanities core. In the first instance, there is generally a much more attractive set of opportunities for corporation and individual giving. In the humanities, now that rich people don't collect books any more (they collect art), it is a little more complicated— but far from impossible — to present an opportunity that is appealing to the donor. At Yale, we find that establishing common cause with those people who might be our competitors, such as the director of the art gallery, has paid off handsomely for both the gallery and the library by approaching people with a variety of interests in support of the arts.

So, deals are dependent on context, but they're also dependent on the perception of who and what you are. I am sure that each one of you has shared the experience that I have had over and over again: development offices point out to us that there is a group of bibliophiles in the community — our natural support group, and if we would just work on the bibliophiles a little bit more, we wouldn't have any problem with our fund raising.

Sure enough, they are a natural support group. They tend more often than not to want to support special collections and rare books activities within the library, but they are very often open to some suggestions about redirection to other kinds of needs. However, I have found the success in getting funding for purposes like new technologies, major preservation gifts, and building renovation, has come mostly from people who really aren't much interested in books at all, but they are interested in a cause, topic, or purpose to which the library can relate.

For example, there was recently a potential donor whom we wanted to interest in a piece of the renovation action in the Sterling Memorial Library. He and his wife came for a visit. Their eyes glazed over when we talked about great research collections and when we started talking about the fact that the largest single user group of our special collections is undergraduates. We then pointed out the lovely features of the building and let them fiddle with the computers. At this point, desperation sets in because there is not much background on the donor and his interests. And then sometimes you get a break. In this instance we kept walking and talking until we reached the archives area within the Yale library. We had asked our archivist in advance to pull a few pictures of the potential donor's class year, and he loved them. This graduate, who cared not in the least for anything that had to do with the library as a building, as books, as collections, as technology, gave us a very generous gift for renovation simply because we touched on his appreciation of memorabilia that we had so carefully preserved of his class.

My point here is that we have tried to sell the development office on the notion that whatever the context of the donor, we can manage to find a connection. The second point that we have sold the development office on is that at a moment's notice if a development officer needs to have five paragraphs of text to appeal to a donor with ornithological interests, and he or she needs to have it by FAX in ten minutes, we will knock ourselves out to produce it. We find that by helping them in that fashion, they, in turn, will think of us when they have a donor to be directed to an opportunity.

I find that I spend more time on a daily basis, as does my staff, on internal cultivation rather than external cultivation and in cultivating the key faculty, the president, and the development office and in helping them out. Of course, we also both spend time both hosting visitors and donors and exchanging notes and newsletters and pictures with them.

One final tip: In 1989, my family and I gathered in Colorado Springs at my mother's home for Christmas vacation. I had only been there a couple of days when I received a telephone call from the university reporting that a potential donor with whom we had been working for a couple of years and who we were very anxious to have help us to get over a hump with a renovation project, had called and said that he would give the gift to the library. That was the first big six-figure gift that I had received since I had been at Yale, so I had a happy Christmas. In 1991, we once again gathered at my mother's house in Colorado Springs for Christmas. I had been there for a few days when I received a telephone call that a donor had presented the library with the first seven-figure gift that had been presented since I had been at Yale. So my last comment is that, when all else fails, go home to mom.

MR. STEVENS: In the best tradition of my unconventional approach to our profession, I gave some thought to turning today's comments into a campaign speech and ignoring the issue that I was supposed to talk about, but I decided that wouldn't be in keeping with my low-key strategy. However, I discovered that sometimes the life of librarianship is larger than the warped vision that I have librarianship. So I do want to make this one brief pitch.

I want to assure you that I have not, and I do not, endorse the ill-conceived scheme that the incoming president of ALA has to build a $3 billion endowment over the next three years. The income from that endowment is to be used to buy books for America's school and public libraries for children and young people. That is a development campaign, as I'm sure many of you will recognize, that is larger than any campaign mounted by any of our institutions, and a campaign that comes on the heels of an independent consulting report to ALA that describes how ill-equipped ALA is to manage its current development activities.

I was pleased to hear about how well-organized development programs run, whether they are decentralized, centralized, or hybrid. I wish I existed in such an environment, but unfortunately I don't. So my remarks come from the perspective of somebody in an institution whose development program can be described at best as in a state of formation and at worst as in a state of chaos.

Most librarians have, for various reasons, considered fund raising none of their business. Some librarians may hesitate to become fund raisers on the grounds that they are not suited for the job by personality or temperament. If they had been cut out to be salesman, they would argue, they would not have chosen librarianship as a career. It is probably fair to say that the typical university librarian's attitude towards fund raising is that it is a responsibility that belongs primarily to others.

Much has changed in the university libraries since Andrew Eaton, a former ARL director in a private university, said those words in 1971. Not the least of those changes is the attitude toward fund raising and the proper role of the library director in that process. Obviously this program is an indication of the changes that have taken place.

Those few of us who continue to follow the course described by Andrew Eaton may be noted as the old fogies that we are. But there are legitimate arguments to be made for even a contemporary ARL director maintaining a low profile when it comes to beating the bushes for money, not that the bush do not need to be beaten.

Andrew Eaton's primary objection that librarians, even the best of us, may not be suited for the job by personality or temperament still has some validity. While recent job descriptions for ARL directorships specify several new roles, including fund raising, and/or several new qualifications including experience in raising funds, some of us were hired in different times and with different expectations. It may indeed be hard to teach us old dogs new tricks.

Fund raising is only one of several areas in which an ARL director may be expe ':d to have specialized expertise or qualifications. Other specialties such as automation, building planning, and preservation may also be included in the list. The question naturally arises as to the degree of specialization that is desirable or necessary. The old-fashioned notion of organizing work by specialization may still have some validity here.

ARL directors are not expected to be technocrats, architects, or conservationists. Why should we be expected to be fund raisers? Our role is to oversee, in broad terms, the administration and management of our libraries and to articulate the needs of our libraries to the university administration. It is, and can be regarded as, the institution's responsibility to find the resources necessary to provide the kind of financial and other support that the university thinks is appropriate for the kind of library it needs or wants.

We are all, of course, forced in one way or another to modify that conservative approach if our libraries are to receive the support that we think is appropriate for the kind of library that our users need and want. Total reliance on the benevolence of an institution cannot provide all of the money we need.

Some of us may have the personality and temperament required to be successful fund raisers. Some of us may have learned a few new tricks. Some of us may be able to clearly and precisely articulate our needs to potential donors, and some of us may even, as our staffs sometimes think, have nothing else to do.

Still, even under those circumstances we exist in the environment that our university sets in respect to fund raising. Institutional constraints, directions, goals, policies, and structures, or the lack thereof, shape our efforts. They may encourage, impede, or assist those efforts, but they are definitely likely to shape our role.

That, of course, assumes that the university has an organized and rational approach to development. In that setting, there are roles that all of us should be able to handle with ease. There may still exist, however, a few unenlightened universities with a catch-as-catch-can environment, and I will not mention any names other than the University of Connecticut, where institutional priorities are not set, where there is not a strong, well-established development office, and where the course of direction appears to be to vaguely encourage development, or more likely what is now called in our institution "revenue enhancement activities," by all deans and directors without much more in the way of institutional guidelines or support.

In such cases any effort to find supplemental funding from outside or within the university is often like blindly navigating an obstacle course. We don't know what the specific obstacles are or how many of them there are until we encounter them. We spend inordinate amounts of time developing ideas, presenting proposals, and otherwise beating our heads against the wall without any way of judging whether or not we will be successful. What may work one time may not work the next time.

There are at least two basic ways of approaching revenue enhancement activities in environments like this. The first, if you have the energy, temperament, and persistence is to adopt a freewheeling entrepreneurial approach within ethical boundaries that assumes it is everyone for themselves.

Do not ask for permission from your boss to make contacts — if there is a possibility or prospect, you pursue it. Do not worry about whether or not the potential donor is somebody else's prospect. If they are, you may be told you have done something wrong or have overstepped the boundaries. Then make a vague promise that you will not do it again.

The second, and for me the more comfortable approach, is to adopt a laissez-faire attitude and take the course of least resistance. Assume that the institution does not care about fund raising, that the possibilities and prospects of finding support for the library are limited, that there are more productive uses of time, and that indeed the game is not worth it.

If, for example, the ability or the resources are there to hire a new person, one might think twice about hiring a library development officer who may or may not, over a period of time, earn his keep by bringing in additional dollars, rather than hiring an additional reference librarian who can clearly earn his keep by reducing, in a short period of time, the length of lines at the reference desk.

So do not sweat it, but do make modest efforts to secure a few extra funds for the library. The library, like the museum and a variety of other campus programs, may have a friends group consisting primarily of the same few people who belong to all of the other friends groups on campus and who contribute, on principle, a few dollars a year to all worthy causes.

Contributions in honor or memory of retiring or deceased faculty may be directed to the library. Alumni class gifts, senior class gifts, parents' funds, or money from the university's annual appeal may, from time to time, bring in some extra dollars without any relationship to the amount of time and effort the director spends on encouraging such efforts. From time to time a donor may wander in or even be directed to the library by somebody in the university administration. Be grateful for all gifts and take full credit for them.

In the end, it comes down to the fact that in the area of fund raising, perhaps more than in any other area of our responsibilities, the library director's role is likely to be shaped by the institutional environment. We may be given a relatively free hand in how we organize and run the library. We are not likely to be given such a free hand when it comes to raising money for the library or even quite such a free hand when the university organizes or does not organize itself to support and encourage development programs.

In any circumstance, the library director needs, above all, to make a careful assessment of where the money needed to support the library programs is most likely to come from. If the bulk of the library support comes directly from the the institution, which is likely to be true in a state-supported institution, it may well be far more productive for the director to spend time in developing strategies to solicit and elicit institutional support rather than to chase after smaller amounts of private support. If, on the other hand, external support is the name of the game, it can be far more productive for a director to spend time on fund raising activities, preferably within the directions and guidelines set by the university, always taking every possible advantage of every conceivable opportunity. To paraphrase an old adage, you earn your money and you take your choices.

MR. CAMPBELL: It is a well-known fact that some of the most famous country music tunes ever written were written about library fund raising. All of you know the old song called, "I Can't Afford to Half My Half Again." And most of you already know the new one called, "If the Devil Danced in Empty Pockets, He'd Have a Ball in Mine." And how about the one about the librarian who decided that she did not need any more money to get the job done and sang, "I'm Going to Stand Up On My Own Two Knees."

I will direct my remarks to two matters, the first arguing for a strong role for the university librarian in fund raising matters, and the second briefly addressing certain ethical issues.

Because of its relative youth as an institution and because of the early early establishment of the Duke Endowment, Duke University only found it necessary to enter into the fund raising business in the 1970s, and only in earnest in the 1980s. Indeed, so unusual was fund raising in the context of Duke that some of our alumni were initially horrified, thinking that fund raising signaled the virtual dissolution of the university.

We are beyond that shocking start, however, and fund raising is now a seemingly all-pervasive part of the fabric of Duke. The important lesson in this is that even those alumni and supporters who in the beginning were mortified that Duke needed support, have, in retrospect, become partners in supporting higher education and have become genuinely closer to the university than they ever would have had dollars not become a perennial occasion for communication.

When I arrived in the mid-1980s, Duke was in the middle of its first large-scale fund raising campaign. And I was urged, almost recruited, with a mandate to develop a library fund raising program. I was, however, cautioned to do so with certain parameters. The first of these was to develop a fund raising program without interfering with existing campaigns of the various schools of the university and their graduates, and secondly without cultivating any previously known donor of the university.

I was, of course, promised all the help I needed, as long as this help was not in the form of help from the development office, or financial support for the library's own development staff. Advice I could have, if I did not ask too often. The advice I received centered mainly around a phrase that I detest in any context, "Donors will not support libraries because they're not sexy enough." This is a use of the world "sexy" that is totally out of context with any of my experience.

Now, this central fund raising unit at Duke has done a splendid job for the university in a relatively short time, and I have great respect for them and their ability. But one might say they're not focused on library fund raising and certainly not library centered. This is all to say that without a strong contribution from the university librarian, library fund raising at Duke would at best be an attenuated crippled enterprise, existing primarily because of a few blessed donors who stipulated and would not be talked out of supporting the library, or because for reasons of the physical plant or fiscal austerity the university administration infrequently put the library at the front of its fund raising priority list in order to prevent a crisis or to avoid embarrassment.

What I mean by a strong contribution from the university librarian is complex but may be summarized in three simple points. First, in our times the university librarian must view fund raising as one of the basic components of the job. As such, it must be conceived as an ongoing, never completed task. It is not finished with a successful campaign any more than our management responsibilities are finished with a successful OMS workshop for our staffs. It should require from 10 to 25 percent of the university librarian's time, depending upon the time of the year and the fund raising activities in process. And the better the times, the more of your time it will require.

Second, fund raising begins at home. Fund raising always depends upon careful and constant cultivation, and library fund raising begins with the cultivation of the university administration, development office, and faculty. They must come to see the library for its true value, and even, if absolutely necessary, to see it as "sexy." They must be wined and dined, wooed and cajoled. Never let them forget the library, always let potential donors see it in its best, most compelling image. The university librarian must work constantly and tirelessly cultivating the university community for library fund raising because this is always an avenue to large gifts that will otherwise never come within the grasp of the library.

Third, whenever even remotely possible, university librarians should establish the library's own fund raising staff, paid for by the library budget and reporting to the university librarian. If it can be arranged, the library's chief fund raising officer should also be recognized as a member of the university's larger development operation and participate in university-wide development planning and appropriate meetings of development officers from other schools and units of the university. But in any case, they must report to and be unfailingly loyal to the university library.

Library development officers ought not to be librarians any more than librarians must be authors. They do not have to understand the details of a library any more than a great general fund raiser understands the myriad details that make up the university. What they must understand is how to get money from people.

In accord with this third point, I have created a fund raising staff of four professional fund raisers within the library at Duke. One is the director of library development who supervises our development program and serves as a mentor to the other staff members. She is an experienced fund raiser, one of the all-time best fund raisers at Duke and is fiercely loyal to the library. She focuses her fund raising on major prospects, primarily individuals, and manages our Library Advisory Board. The Library Advisory Board is a group of between two and three dozen individuals of means and intelligence from across the country who have agreed to support the library with cash and advice. We share with them our expectations up front before they join the Board and indicate the minimum annual gift to the library for a Board member. They pay their own way to return to Duke twice a year for a series of meetings on library matters, and they are genuinely quite thrilled to have this means of active involvement in the life of the university.

The second staff member focuses on managing our friends' group and on writing federal grants. The third focuses on grants from private foundations. And I add as another aside that we do not ordinarily publicize our successful private grants since that would increase competition, and we think success is preferable to recognition.

The fourth staff member involved in development provides clerical support for the other three. What we're doing with this development enterprise is laying a foundation for ongoing, long-term support to the library, particularly among individuals and their families. If we conduct capital campaigns on behalf of the library, then these key individuals will provide leadership gifts. In regular times, they will provide major annual support.

And ironically, as these efforts have begun to bear fruit, they have assisted with our efforts to enlist the university's development office on the library's behalf. It has become fashionable to raise major gifts for the library, in recognition of which it is said the library hosts the very best parties at Duke. And so, all in all, university librarians must work ceaselessly to enlist the university development office on behalf of the library and to accept their help humbly and with magnificent gratitude.

At the same time, I would never place the library's fund raising future solely within a central development office's hands, at the whim, so to speak, of the frenetic and unpredictable shiftings of attentions within modern universities. Library support must be constant, ongoing, and under the direction of the university librarian.

A word now concerning ethical issues. In a way these are perilous times to be expanding our university fund raising interest. On the one hand, the university world is in danger of burning out its supporters because of its insatiable appetite for more money and its correspondingly infamous record of outrageous management. Perhaps I should say mismanagement—at least some do. Libraries are inescapably heirs to this problem. On the other hand, libraries are not guiltless for their role in creating the problem and exacerbating the cost of universities. I had the indescribably miserable experience of having one of the library's best and wealthiest friends ask me how much it cost to put a book on the shelf and seeing him stare in naked disbelief when I said $23. I will not describe the entire sequence, but will only observe that it got increasingly worse as I explained to him why it was so costly and how $23 was actually pretty good compared to the research library world. "Are you living in Byzantium?" he asked.

In our library fund raising, are we seeking permanent endowed support for an enterprise that cannot endure in its present form? Are we seeking support for procedures and methods that are indefensible? Can we affirm with integrity that our professional staffs possess both the willingness and the skills necessary to redefine libraries appropriate to the emerging, increasingly electronic educational environment? By analogy are we, like the Chrysler Corporation, asking the taxpayers to bail us out without the corresponding promise to reform totally our assembly lines and begin to produce a product worth the cost? In these days when the university management and fiscal stewardship in general is much under scrutiny, these are increasingly the questions being asked by those whose support we are seeking.

Put simply, the ethical dilemma is whether we seek support for a library that is dying or for the knowledge distribution system that is being born. The ethical dilemma has a real risk. Remember there is another country song called, "I've Got a Rolex on Each Wrist, But I Ain't Got Time for You."

MR. INGLES: I would like to begin with a bit of Canadian content. What are we doing in Canada, why are we doing it? Frankly, I am not quite sure we know. But I would like to present some of our successes and the directions in which we are heading. This is a snapshot as best, and I apologize to my Canadian colleagues if I miss something that is particularly important.

Over the course of the meeting I started thinking about all of the stereotypical and myth-like thoughts about fund raising in American universities and how they might differ from the Canadian experience. There is a difference, but I am not entirely sure that it is as dramatic as I once thought it was.

The American environment for fund raising, particularly university fund raising, is a little bit different than Canada's. Prior to this presentation, I had an opportunity to read the galleys of Victoria Steele and Steven Elder's book. I highly commend them. I want to talk about some of the figures they presented, particularly in terms of the Canadian context. The figures indicated that roughly 50 percent of the fund raising revenues in the U.S. for libraries or for universities (I can't recall which) comes from individuals, 40 percent from foundations, and 10 percent from corporations. This is not quite the Canadian experience.

It is important to understand that we are in an early stage of fund raising or development in Canadian universities. That is certainly the case in Canadian research libraries, although we certainly have a few institutions with quite mature programs. Where we differ from a lot of American libraries, is that we rely and have historically relied on government grants for many years. This was true well before the Second World War, and after that in the great boom of education in the late '50s and '60s when so many institutions were established. Many of those institutions were reasonably well-funded in this manner and found no particular need to go to the private sector. That, of course, has changed, and what is driving the development in Canada today is, in fact, the realization that government funding policy is now sending us out to the private sector. In the past three years, Canadian corporations have contributed portions of their pre-tax incomes. In 1989, 6 percent of their pre-tax incomes went to charitable organizations; in 1990, 7 percent went to charitable organizations; and in 1991, 9 percent was given to charitable organizations. The good news is that the figures are going up. The bad news is that they lag significantly behind charitable contributions in the United States. In 1991, only 295 companies in Canada contributed more than 1 percent of their pre-tax revenue to philanthropic enterprise. I think that is considerably different from the American experience.

The reason our figures are going up is the increase in aggressive fund raising. In a competitive environment that sets the stage for success, particularly for universities and libraries as they begin to move into this area of resource attraction. But it also makes for a lot of competition.

I assume it is the case in the United States, but in the last five years or so we have had whole new sectors develop as self-inherent charitable activity — sectors representing family, environmental, medical issues, and particularly multi-cultural issues. There is a lot happening out there.

Our governments, whether they are federal, provincial, or municipal are encouraging this as they make it quite clear that their resources are limited. We are told now that we have to find alternative funding sources. The trouble is everybody is encouraged to find alternatives. In the past four years, the number of charitable organizations has increased dramatically in Canada. According to *Canadian Review*, four years ago there were just over 35,000 such agencies registered to collect monies and give tax receipts in Canada. And in 1991 there were 66,000. The number is increasing, and that says a lot both in positive and negative terms about what is going on.

There is also a difference in the culture of giving. The ethic of giving in Canada, again because of its historic reliance on state resources, has been quite different. We are only beginning to provide infrastructure support by way of legislation to make philanthropy more agreeable to patrons. It has only been in the past few years that we changed our tax laws, developing public foundations and other types of infrastructure legislation. This allows us to give the same kind of advantage to our donors that has been available in the United States for quite some time.

The final point is that in Canada, for good or for ill, most corporations are branch plant corporations. We do not like to say that out loud, we do not like to admit it most of the time, but that is the reality. And I am quoting from Steele and Elder's book, *Becoming a Fund Raiser*. "Corporations that do contribute to an organization generally do so at the direction of individuals who have clout within them. The reality is that in most Canadian corporations the clout is south of the border." That is one of the problems we face on a daily basis.

I have no evidence to suggest that individuals in Canada do not make up a considerable percentage of the philanthropic resource. I noticed in *The New York Times* that the philanthropic days have come to an end for one of Canada's great philanthropists. The Reichmans are on the verge of bankruptcy. The Reichman family has been quite generous to many Canadian universities and many other cultural agencies.

Despite this situation, I am not sure we have our share of philanthropically oriented individuals. And again, our donors are being asked more often than not to divide their dollars over a larger number of causes.

The one thing I have done in the past few years, in conjunction with some development officers from my own province, is to look at some demographic trends. I assume these are the same in the United States, but I found them quite interesting. In fact, I did a paper a year ago entitled "Who Was Bob Dylan Anyway?", which looked at the ability of the baby-boomer generation to give and how that ability is hopefully going to put a little more money into our pockets over the next few years. There are more people working, and more people who come from the socially conscious generation of the 60s who are moving into their late 40s and 50s. I came to the conclusion that perhaps the hippies of the 1960s did not go away after all, they just went into hibernation for a couple of decades, but they seem to be back, and working with and for charitable enterprises.

Finally, I would like to draw your attention to foundations. The statistics referred to earlier indicated that about 40 percent of the grant resources for your organizations come from foundations. Again, this is a source of income with which Canadians have little experience. I noticed in the most recent edition of *The Foundations Guide* that the Ford Foundation alone had approximately close to $6 billion in assets, and the Rockefeller Foundation had just over $2 billion. Admittedly, those are just two of the larger ones, but there are tens of thousands of foundations out there. We have 611 foundations in Canada with total assets just under $2 billion, the largest of which has assets of about $300 million. More importantly, according to the index to the *Canadian Directory of Foundations*, none of these organizations gives money to libraries and only a few have given money to universities.

What about the campus context? It is appropriate to say that the Canadian environment is still developing. Until recently, at least according to a poll of development offices across Canada, most offices did not report at the vice-presidential level, most directors reported to associate vice-presidents. This has changed in the past few years. Today, most development offices do have their own vice-president. This is significant in terms of the role and importance that is now being given to the function.

Canadian university libraries are only beginning to realize the importance of a good working relationship with the campus development office. I know at my university this is particularly true and I have to applaud Emily Mobley for sending me our new Vice President of Development who really knew what libraries were all about. He is very good and has put the library right at the top of his list.

Having now whined about the nature of our situation in Canada, I would like to share some of our successes. I would go so far, though, as to say though that our successes have been "hanger-on successes." That is not to say that they are not important, but most of our successful initiatives tend to a part of major university-wide capital campaigns where the library has been given a high profile. And some of these campaigns have included varied and continuously successful campaigns such as at the University of British Columbia. The University of British Columbia case statement was one of most handsome and most compelling that I have ever seen. It was an excellent document.

Carleton University, which is not a member of ARL, has had a very successful capital campaign from which the library received several million dollars. McGill had an ongoing campaign (with a $200 million goal) of which the library is to get $20 million. Possibly one of the most successful campaigns in the past five years was at Laval University, which set out to attract $25 million in its capital campaign and brought in $45 million a few years later. The library had a fairly large endowment set up from that particular campaign.

Other than these examples, I think the other elements of the Canadian system are similar to those in the United States. We have a number of annual giving campaigns underway. We have not done a particularly good job in either the library or the university at cultivating alumni, particularly in terms of the sophisticated tracking that I understand our American colleagues have. We are only beginning to install on some campuses the appropriate technological infrastructure that allows us to track our alumni and to manipulate that data for fund raising issues. We certainly do not have the kinds of relationship with these donor groups that come from activities such as sports events, homecomings, and things like that the American colleges do.

There are, however, some unique programs in Canada. The University of Guelph, which has a very successful parents program, is a good example. My own institution has a young but very good program to cultivate emeriti professors. This has been quite productive.

In Canada, and I believe in the United States, there are special groups that we should be looking at in terms of fund raising potential. Over the past few years I have been interested in developing corporate relationships not in the typical sense, but developing relationships that look at business functions, studying how they make their profits, and seeing how those methods can be translated into productive resources for the library and the university.

In particular, I am thinking of a counter-trade initiative through which we collected wheat from prairie farmers and then, using an international commodity broker, translated that wheat into cash through the commodity exchange. Similarly, we are looking now at various kinds of international relationships in which margins are often affected by offsets, which are usually a part of any major manufacturing arrangement (often defense-based contracting) involving out-of-country suppliers. These could be profitable for libraries. There is certainly a fair amount of uncommitted offset resource available. It is just a matter of trying to come to grips with how it can be made to work for us.

If any of my colleagues wish to add anything I would be most grateful. Thank you.

MS. NUTTER: Thank you. We have about five minutes for questions.

DISCUSSION

MR. KOEPP: I would like to make two comments in response to this issue. One of them has to do with library loyalty vs. university loyalty. I have experienced the disappointment of having wined, dined, and otherwise cultivated donors, only to have their contributions go to the University Sewage System. But that is part of the game, isn't it?

The other experience that keeps me going on days when the development burden seems unusually heavy is what I call the McClain Principle. I had been at Princeton about a week and the development office called to say Mrs. McClain had left $650,000 to the library. Who was Mrs. McClain, they wanted to know? It was extraordinarily difficult to find out. Nobody had ever heard of Mrs. McClain, she was totally unknown. As far as anyone knew she had absolutely no connection with Princeton University. About two years later I was at a social occasion where, among the other guests, was the widow of my predecessor. I asked her if she had ever known Mrs. McClain. Did she know Mrs. McClain! In the mid-1950s she and her husband had to stop to have a bourbon with Mrs. McClain every time they drove through Virginia. The point is that no one ever knows how or when a contact who seemed unproductive at the time will turn out to be worth it in the long run.

MS. NUTTER: That is a good point, thank you. I think Sue Martin had a question earlier that maybe you can answer: how much time on average is a library director spending on development? Jerry Campbell mentioned 10 to 25 percent. It seems to me that Jerry is always out cultivating a donor. I do not know how many hours a week he works.

MS. STEELE: I would say at least 25 percent, if not higher.

MR. RIGGS: Jerry alluded to a national advisory committee. How many in here have national advisory committees to help with fund raising?

MS. NUTTER: About 10 or 12. Other questions or comments?

UNIDENTIFIED SPEAKER: I am surprised no one has mentioned much about friends groups and their effect on fund raising. To what extent are friends groups effective fund raisers? Many of us have them and sometimes I wonder whether it is all worth it. If you total up the amount of money created through dues, et cetera, it does not pay for itself that way, but it pays for itself in terms of cultivation.

MS. NUTTER: That is a good question. Would someone here like to take that on?

MS. ABELL: I would like to take it on and then invite comments from the audience. In a way that's what I was referring to earlier in my comments when I described some of the problems with expanding horizons of the bibliophiles who typically constitute the friends groups. A great deal of one's strategy there is in expanding the interest of the people in that group without offending anybody. That is, without distracting them from their particular special collection interests.

I have found that the process of expanding their interests into other types of donations has been very tricky. I would welcome suggestions from anyone who has developed a strategy or been effective in expanding those interests.

MR. CAMPBELL: This is not a generalization on friends groups, only a comment on the way it works at Duke. In terms of cash giving, the group is worth about $50,000 a year. Occasionally someone dies and leaves a lump sum of money. But we are keeping the group going because it exists, but it is not a very successful fund raising tool. If there is not a friends group at your institution, do not start one. I think you ought to pursue one of the other means. The friends group at Duke represents the 80 percent that accounts for the small gifts. This may be just peculiar to our friends group, but none of our major givers are members of the friends.

MS. MARTIN: I would disagree with Jerry. There has been a certain amount of discussion about the difficulty of penetrating the university's development structure and how to get a word in edgewise with the deans, since no one ever graduated from the library. I found that having a friends group is one successful way of showing that someone is interested in the library. It is a way to get people to indicate that they do have an interest, however small it may be. Friends groups can be advertised in ways that do not look as though the territory of other academic divisions is being tread upon. Then, people who seem to be good prospects may be cultivated for larger gifts. That has been fairly successful at Georgetown.

MS. HOGAN: The friends group at LSU is very active and very embedded in the town. They bring in quite a bit of money. But I, too, saw a way to expand their interest beyond their book sale. We capitalized on some experiences and some expertise in the library. That is, we appealed to those people who collected other things, such as photographs and had an all day workshop on preserving family photographs. We drew a lot of people from the community who were not friends of the library. The next year we had a workshop on collecting fine prints. The next year we had one on collecting fine books. So we appealed to broader interests, but we used our own staff and therefore could made contacts. It was quite successful in the long-term, we brought in more members because of those workshops and embedded ourselves even more in the community as experts.

MS. HOOD: I think a friends group can be very successful if it is converted into an annual funds group. At the University of Illinois, Urbana-Champaign, we broadened the scope of our Board as others have alluded to. We tripled it on purpose to bring in broader interests. We raise about $350,000 a year in our annual funds program and it is from the annual funds group, which represents all states in the country, that we identify our major donors. It is absolutely critical to have a pool of annual givers who are lifelong friends, and then find major donors within that group and raise real money from them.

MS. NUTTER: I have found that to be true. In a public institution it is a very useful way of getting started.

MS. STEELE: What we are hearing here is the uniqueness principle again. At LSU it is very effective, whereas Duke has had a completely different experience. It is important to look at the institution's environment and see what works. I would certainly second the idea of diversifying the Board and expanding it to more than just bibliophiles.

MS. NUTTER: I agree. One thing I found was that the group was very willing to change. They wanted to be helpful and successful. We have legislators now on our Board, including (hopefully) the next governor of North Carolina. People like that will probably play a major role in helping us.

MR. CURLEY: I am going to offer a comment that may lead to some other discussion. I am offering it from a perspective other than that of the university library.

There was some discussion of the difference between centralized and decentralized fund raising, and now we have discussed the advantages and disadvantages of what we call friends groups. Let me translate that into something else — external support groups. I would like to share an experience from Boston that should have some application in your university situations.

Clearly, a major challenge when a fund raising drive is developed is to avoid the pitfall of thinking that the new money raised simply replaces the money that would have been raised from traditional sources. We have found a bit of success in this regard both through friends groups and support groups. One external support group that we have created recently is a foundation to support us, but it could just as well be a friends group that has the ability to speak on its own — to stand on its own two knees, as Jerry would say, but not beholden to or under the political control of the university administration or the central development office. We have helped the foundation leaders to develop a perspective in which they set targets for themselves and immediately go off from there to members of the state legislature appropriations committees and say, "This is our target. Here is yours." It has been very effective.

It seems to me that this is the real advantage of groups such as friends and external support groups. They can be an independent support group on behalf of an institution, while not showing your clever hand too clearly. They can, in fact, set challenges to the university administration in return for the support that they will bring to a fund raising effort.

MS. NUTTER: We welcome the experienced and knowledge of this group, I wish we had more time. Thank you to all the speakers for their energy and enthusiasm.

BUSINESS MEETING

BUSINESS MEETING

MR. CURLEY: I would like to call the Association's Business Meeting to order. I am going to try to make this a brief Business Meeting, and I will make my own comments brief.

I need to give a couple of highlights from the Executive Committee and Board of Directors meetings. We did spend our time well. I can refer quite quickly to some of the things that we did, referring to them so that if there are questions about some of these matters they can be brought up in the open discussion.

The Board dealt particularly with the review of financial statements. We are quite pleased that the Association is fiscally sound. It does not mean that there is a lot of money in the bank, but it does mean that the system of projections that were begun a few years ago has proven accurate. The audited statements came out within fractionable points of where they had been projected. And we, the Board, are confident that the Association's finances are being well managed.

We considered a number of new staff initiatives, some of which have already been determined to be popular.

We have been invited by the High-Performance Computing Advisory Committee to make two committee nominations on at the White House on behalf the Office of Science and Technology. The Executive Committee recommended Susan Nutter and Nancy Cline. We are very pleased to have been invited. In fact, the ARL newsletter (see *ARL 162*) has a list of the challenges and charges to the High-Performance Computing Advisory Committee. It is quite significant that ARL was specifically sought out for advice and the possibility of nomination to this committee.

We spent a bit of time on future meeting locations. We received various other proposals from committees that you will hear about. In the interest of time I would like to move directly to a couple of committees that want and need to make some reports to us today, the very first of which is the Membership Committee.

Report from the Membership Committee

MS. OTTO: I have been asked to report to you on the work of the ad hoc Membership Committee which was appointed by the Board last fall to review the candidacy of Auburn University as a member of the Association of Research Libraries. The Committee consisted of Shirley Baker from Washington University, Phil Leinbach from Tulane, Charles Miller from Florida State, and me.

The Committee first met at the October meeting when we reviewed the statistical and narrative information submitted to ARL by Auburn University. We detected no inconsistencies. I should point out that in order to be considered for ARL membership, the candidate library must maintain a ranking above -1.65, the statistical baseline for ARL admission. Over the past four years, Auburn has exceeded that baseline in terms of their ranking by a spread ranging from -1.31 to -1.47. For an idea of where that places them in context of the membership today, in 1990-91 their ranking would have placed them at about at the same level as Brigham Young University and University of Missouri. In 1989-90 they would have placed somewhere with Louisiana State University and University of Rochester. In the previous year they would have ranked with Southern Illinois University and Dartmouth College. They did indeed reach and surpass the benchmark that has been set by the organization.

To further test the appropriateness of the membership, an on-site visit to Auburn University by the Committee was arranged. Although this has not been standard procedure when reviewing candidates for membership, the Committee felt it would be helpful to test the validity of some statistical and narrative data which had been submitted.

We did indeed have a site visit from December 8-10. From the time we arrived until the time we left we were involved in meetings. We met with the director, the senior members of the library administration, the library heads, and the faculty council. We also met with senior university administrators, the university president, the vice-president for research, and the vice-president for academic affairs. One of our major objectives during the site visit was to assure ourselves that the support that had been given to the library would continue. There was a change in the presidency this past spring and we felt that it would be useful to to talk to other senior administrators at Auburn to determine that the support for the library was there on a continuing basis. We were assured that a strong library was and would continue to be one of the first priorities for Auburn University.

Based on the review, it was the feeling of the ad hoc committee that Auburn University library shares common characteristics with other ARL member libraries. Their collections are broadly based, of research quality, and are viewed by the Committee as fully supporting the university's research and graduate programs. The services provided compare favorably with most and perhaps surpass many ARL members. The staff is generally sophisticated, knowledgeable, and professionally adept. The Committee feels that it has tested the membership requirements and is convinced that the support for the library's continuing growth in terms of collections, service, staff, and physical plant is fully endorsed by the university administration. We therefore unanimously support the candidacy of Auburn University as an ARL member.

MR. CURLEY: You are aware that even before a committee was established there was a detailed study by the Board to determine whether the candidate statistically met the quantitative standards. And to follow up on this with more detailed analysis, Margaret's committee presented to us a very, very thorough report. And we, too, the Board, were convinced that the Committee had done a very commendable job.

This is a Board-supported recommendation. Therefore, I believe it does not require a second, but there is a motion on the floor.

Is there any discussion, any questions, or comments before you vote?

The motion, then, is to approve the admission of Auburn University membership in the Association of Research Libraries. All in favor, aye. (Chorus of ayes.)

MR. CURLEY: Opposed? (Silence.)

MR. CURLEY: Abstentions? (Silence.)

MR. CURLEY: We have a new member. Thank you, Margaret, very much. We have a report from the Access Committee.

Report from the Access Committee

MS. EATON: This report is a response to some of the activity on e-mail this spring. Messages on the director's electronic mail list mentioned interlibrary loan policies and highlighted the interest of members in a reciprocal-type interlibrary loan agreement. A number of libraries sent messages to ARL indicating interest in such an experiment. Some others urged caution in developing such a plan based on their own experience. Based on that interest, this issue was referred to the Access Committee. Yesterday we reviewed the experiences (as of January 1, 1992) of 26 university libraries in Canada that are conducting such an experiment. We looked at some data from Mary Jo Lynch at ALA, who recently gathered information on experimental funding sources, and we talked about the RLG model.

I would like to highlight the Committee's discussion and then ask for some guidance from the membership. The overall concern was that as we look at document delivery, which came out of the white paper last fall as a major priority for the Committee, we think of more than just interlibrary loan. It is a combination of on-site reciprocal use — policies of which we may want to think about reviewing — interlibrary loan, commercial services, and cooperative collection development.

Within that broader context we need to recognize that interlibrary loan has real costs (regardless of how these costs are absorbed), whether by barter, which is what the program often amounts to, or whether by subsidy or full cost recovery. We expect interlibrary loan to increase, as we have all had to reduce direct purchases. Therefore, we need to consider incentives to produce load leveling, to discourage misuse of natural resources, and to encourage thoughtful selection of alternatives for document delivery.

Therefore, we had quite a lot of discussion about what such an incentive program might entail, including not charging for certain services, but charging for other value-added services, with speed being the primary component of the value-added approach. If one were to pursue that, then we should think about a tracking and accounting system for members that would help tally and balance usage and eventually simplify billing.

Additional discussion dealt with the fact that over the last two years the Committee has been increasingly concerned about the need to recognize the cost to the large net lenders, the fact that there seems to be no interest in federal support for helping those libraries, and that if they are going to continue to support the rest of us, we need to recognize the real cost to those institutions and find some relief for them.

Finally, many interlibrary loan staffs are rebelling at the number of special arrangements that they must try to contend with in terms of work flow; we are talking about simplifying work flow.

Our conclusion was that given those observations we have reservations about jumping too quickly into such a reciprocal ILL program; and we would expect that there would not be full participation. But at this point I would like a show of hands on two alternatives that we might continue to explore. One would be to look at a pure no-charge reciprocal approach. A second would be to look at an incentive program which would, in fact, look at balancing usage across institutions and perhaps simplifying billing if there were charges or costs to the larger net lenders. This straw vote is simply to get some guidance for the Committee.

How many would prefer that we look at a pure no-charge model? If I could have a show of hands. [30]

How many would prefer an incentive program? It's about half and half. [45]

UNIDENTIFIED SPEAKER: Are you referring to a no-charge and no-rationing mechanism of any kind?

MS. EATON: That has been the proposal.

UNIDENTIFIED SPEAKER: So that you would not even pass on the cost of photocopying?

MS. EATON: A pure no-charge model would mean pure barter, no charges of any kind.

MR. CURLEY: The chair rules that the minority won.

UNIDENTIFIED SPEAKER: Are you looking at trying to set up a pilot with a wide range of institutions that are voluntarily willing to participate in order to measure certain patterns and costs, or are you just trying to decide whether or not there would be a plan for ARL?

MS. EATON: At this point we are simply trying to get a reading on whether we should even pursue the no-charge concept. Within the larger discussion of document delivery, we are talking about last fall's recommendation that we look at various cost models.

UNIDENTIFIED SPEAKER: Even though the vote was a little heavier in one direction, I think there is a clear split in the organization. And if the Committee pursues, it would be useful to look at the economic impact of both models. I would like to see the Committee look at both of those and look at them from each point of view.

MS. EATON: I think that is consistent with the discussion.

MR. CURLEY: I have 15 proxies on my side. Are there any other questions or comments for Nancy? Thank you. We appreciate your committee continuing to study this matter. Several committees will be reporting to the Board tomorrow. I have had no indication of other committees wishing to make a report at this time, but anyone is welcome to do so. If not, we'll move directly to comments from any members of the assemblage, and Kent Hendrickson has asked if he might call a matter to your attention.

MR. HENDRICKSON: I want to mention an issue that may become important for the membership. Recently the National Association of College and University Business Officers (NACUBO) floated a library survey to several of our member campuses. The document could be viewed as an attempt to establish performance norms for research libraries. For example, one of the questions asks what quality measures do you use for this library process or function.

The questionnaire was sent to the campus business office, not the library. In a number of instances the business office then asked the library to comment on the form. Kendon Stubbs is one of those who has commented. Sarah Pritchard has also had several conversations with the consultant who is working with NACUBO on the project. Based on the information we have at this time, the test campuses should receive a final questionnaire within the next two or three weeks.

The Statistics Committee and the Management Committee are recommending that Duane send a letter to NACUBO expressing ARL's interest in the project and that we would be willing to participate in any meaningful way. A copy of the questionnaire, a list of campuses involved in the test project, and a copy of Duane's letter will be mailed to all ARL directors.

Speculation is that the NACUBO project may be one result of the new emphasis on performance measures that we are seeing in recent documents distributed by regional accrediting associations, and the strong interest in TQM that we are experiencing on many of our campuses. We recommend that all the Directors make the appropriate contacts on their campuses. Thank you.

MR. CURLEY: Thank you. Before I call the Executive Director for his report, are there any other members who wish to bring questions or comments to the floor?

Report from the Executive Director

MR. WEBSTER: There are three things I want to focus on. The one thing I particularly want to focus on is the variety of efforts that we are making to build a responsive agenda of issues that meet the needs and interests of our members. The second issue I want to address is the investment we are making in creating new working relationships with other leadership organizations in higher education in order to leverage our influence. And the third area I want to spend a few minutes on is the efforts we are making to improve research library performance.

The Activities Report (see Appendix I) that is distributed in the package of materials for this meeting captures the details of specific activities we are involved in on a day-to-day basis. But some of the broader issues and activities do not always come across in the report. The ARL staff put together a paper called "Challenges Facing Research Libraries," and we have used that to articulate some of our concerns in several settings. Certainly, people outside the organization have one view of what our agenda might be, and *The Chronicle of Higher Education*, over the past three or four issues seems to have picked up on an array of those issues and has reported them quite regularly: the financial concerns of research libraries, some of the experiments with information technology, some of the experiments with electronic journals, and recently a discussion of intellectual property concerns in an electronic environment. The ARL statistics were in the last issue. We have been getting excellent press from *The Chronicle*, and it has resulted in the Association being identified with certain key issues: the developments with scholarly journals, the developments with network information, and our efforts to strengthen and improve management training. If only those few issues are focused on, the wide array of issues that ARL is working on both in a prominent public press type of setting and also more quietly behind the scenes may be missed. The standing committees each represent a continuing strategic objective of the Association and each manages an array of issues that are very important within that domain. The Activities Report lists each committee's agenda items. And the discussions over the course of this last week indicate the degree to which members are involved in examining those issues, in defining our agenda, and in ensuring that the issues that we are spending time and effort on are the issues that the membership wants us to address.

In addition to the standing committees' agenda-setting work, I would like to draw your attention to the Activities Report section on the Office of Research and Development (see Appendix I). It is in this area that we list the projects that are separately funded, have already attracted money, and projects that we are developing and or which we hope to obtain future funding. We are investigating these projects with the expectation that they may emerge as the future agenda of the Association.

One project is on mass deacidification technology. The ARL Preservation Committee began developing a project following last fall's roundtable in Andover, Massachusetts. Discussions are underway with several member libraries, and several foundations have indicated interest in a project to demonstrate and enlarge the market for mass deacidification services. Any library willing to make a commitment to enter into a mass deacidification contract is encouraged to contact Bill Studer, the chair of that committee, Scott Bennett, who has been the leader of the project, or Jutta Reed-Scott, the staff person providing coordination. We think we have identified most of the interested libraries, but we would be eager for more involvement. We are also working with the University of Chicago to co-sponsor a workshop at the end of the month to help prepare a national preservation plan that will be broader in concept than just brittle book coverage. And, of course, any member is welcome to participate in that set of discussions.

Another project of great interest is the Geographic Information Systems Literacy Project (GIS). This is being developed under the leadership of the Information Policy Committee with Merrily Taylor as the chair. It is aimed at making spatially referenced geographic information more readily available to research libraries and their users. We're setting up a partnership with software vendors, federal agencies, and research libraries to make available training, consultation, and software that will allow use of government information, especially census information, already available in depository libraries within this scheme. We have received more than 60 letters of interest from libraries willing to contribute to this effort. This high interest level has prompted us to create two distinct phases for this project. The first phase, which will involve 30 libraries, is starting immediately, and as soon as we're able to attract additional funding, which we're optimistic about, we will broaden the project to a second phase to include all other libraries that have expressed an interest so that we can include roughly 60 institutions in this effort before it is completed.

A third project I would like to draw your attention to is a new idea that the Management Committee is working on with David Penniman from the Council on Library Resources, and that's an effort to develop an available method for assessing costs and measuring performance that may be applicable to research libraries. We are planning, with the Council, to conduct a roundtable-type discussion involving those of you who might be interested and five or so economists some time this summer. Notification will be going out shortly on this project, and we hope a report will come out of those roundtable discussions for the entire membership this fall, that may well propose an ambitious or a more ambitious project to design or apply available models to some of the needs of which you expressed at the Membership Forum last fall.

A fourth project I would like to bring to your attention is also a very new idea. It is an idea that we have been working on with the National Association of College Stores (NACS). It relates to library reserve room function, the NACS, and their copyright permission service. As you may know, NACS has set up a copyright permission service that provides service to the university community. This differs from the other copyright permission service, the Copyright Clearance Center, which is organized and committed to reflect publishers' interests. The NACS copyright permission service would be available to us as a pilot project for member libraries who would like to experiment with a custom publishing format to make reserve room materials available, either in electronic or print form. Several libraries have already expressed interest in this developing project. We expect to develop the project more fully in the next several months. And given the encouragement that we have received at this meeting, we expect to send a membership mailing describing that effort in greater detail with the hopes that more member libraries would like to participate.

These projects illustrate several developing efforts to ensure a growing ARL agenda. As we move forward on this process of updating the agenda, our continuing concern is clarity and commitment. How clear are the issues and activities that we are bringing forward, and how committed are our members to the directions that are being proposed?

The second topic I want to address is the investment in partnerships with other agencies in order to advance this agenda. An integral part of almost every effort we are undertaking now is an effort to connect with other major leadership organizations to extend and leverage our influence through partnerships such as the ARL-EDUCOM-CAUSE partnership and the Coalition for Networked Information.

The Coalition is enjoying considerable success, with approximately 160 member institutions. Roughly half of those are also ARL members. This has allowed the Steering Committee to reduce the institutional fee from $5,000 a year to $4,000 a year. The Coalition Task Force meets twice a year, and their meeting in March attracted more than 350 people, the largest to date. The next meeting is November 19-20. The agenda for the Task Force and the Coalition is very ambitious. The progress being made toward that agenda is described in an appendix to the Activities Report (see Appendix I, page 133). The Coalition was originally created with a three-year life expectancy. We are now beginning a review process that will assess the progress made in these first three years, what the next three years should look like, and what changes, program refinements, and improvements are needed. Coalition members will receive an inquiry within the next two months asking your opinion on progress and your suggestions for needed changes. As a result of comments from Task Force members, the Coalition's Steering Committee will meet with each of the three Boards of Directors (EDUCOM, CAUSE, and ARL) to recommend a new three-year business plan. From our discussions to date, I do not think this will mean the end of the Coalition--we see it as a question of refinement of the Coalition, not a recasting or a termination of the Coalition.

We are also in the process of setting up a new working partnership with the Association of American Universities. I was invited by George Rupp of Rice University, chair of the AAU Education Committee, to meet with about 20 university presidents on April 13th to discuss the possibility of setting up an action agenda involving AAU and ARL representatives. The success of these discussions has prompted the scheduling of a portion of the Town Meeting to review the plans for the creation of three joint ARL/AAU task forces and the establishment of an AAU Presidential Steering Committee. The American Council of Learned Societies has also extended an invitation to ARL to join as an associate member under a new membership category that reflects their interest in a closer working relationship. At the ACLS business meeting this month, Stan Katz, in his President's report to the delegates and the chiefs of the scholarly societies, noted ARL's degree of influence within ACLS. He cited in particular the value and importance of Ann Okerson's presentation to ACLS last fall, and Paul Peters's presentation from the Coalition at the May meeting. Those two presentations and our continuing discussions with Stan and with Dr. Greenberg, ACLS Vice President, prompted Stan to note that the number-one priority for ACLS in the next few years will be the issues related to scholarly societies moving aggressively into electronic publishing. That is a real mark of success in both an informal and a formal relationship sense. The ARL and the American Association of University Presses (AAUP) have been exchanging speakers on a tour of meetings. As you well know, David Bartlett was here at our last meeting, and we are discussing ways in which we might pool the strengths of libraries and university professors.

A joint project operated by the ARL Office of Scientific and Academic Publishing was undertaking the April 26-28 symposium entitled "Electronic Publishing on the Network: Visions and Opportunities for Not-For-Profit Publishing." The symposium was co-sponsored by the American Mathematical Society, a group that has shown great interest in the ARL agenda. The symposium went beyond our best expectations. Over 45 representatives of not-for-profit scholarly publishers were present, and a number of ideas for future collaboration were sparked. Ann Okerson is working very closely with NASULGC to establish a task force involving ARL and other members of the higher education community to study current problems of general access problems. We are working with a number of other agencies such as the National Humanities Alliance, National Cultural Alliance, and the Consortium of Social Science Associations. In fact, for the first time in some years, a representative from the Consortium of Social Science Association is attending our meeting. We are convinced that the element of building a close working relationship with scientific societies, higher education associations, and a number of the other leadership groups in the profession is absolutely critical to the success of our enterprise. We cannot influence and continue to act on the issues that we have established without that sort of collective partnership.

We are also making efforts to work directly with our members to improve library performance. The statistical survey work is one of the Association's core services, and we spend a fair amount of time not only making sure that those services are provided on time and with high quality, but also introducing additional services and embracing additional topics such as access and automation measures. We have also participated in national projects that relate library concerns and technology to educational statistics. I hope the newsletter serves the new editorial policy of highlighting the issues that we are focusing on rather than simply reporting on Association activities.

ARL's Office of Management Services also deserves recognition. It continues to be very active. In this past year more than 900 academic library staff participated in more than 25 training programs. The Systems and Procedures Exchange produced ten SPEC flyers and kits and distributed them to almost 470 subscribing libraries. We arranged a workshop this last year for library directors to meet with one of the leaders in organizational change, Dr. Lee Bolman from Harvard, to talk about reframing library organizations. That workshop, which followed the ARL meeting last fall, proved to be such a success that we have asked Susan Jurrow and the OMS to put together additional programs for this next year. We are planning a workshop that will involve a representative of Peter Senge, the author of *The Fifth Discipline*, an important book focusing on developing a learning organization. The program is based on the premise that every organization has potential for improvement, and we can facilitate that improvement if we think systematically about our experiences and learn from them. We expect that type focused workshop to be available after the membership meeting in the fall. We are gauging interest in having a workshop preceding the membership meeting directed at techniques and concepts receiving a lot of attention in the management literature, namely Total Quality Management.

Another area in which the Association is hard at work is federal relations. Prue Adler and the Information Policy Committee are working hard on your behalf in this arena. I must acknowledge a landmark event that occurred with our help and with the higher education community this year — the passage of the NREN legislation, which was passed by Congress in the fall and signed by President Bush in December. That legislation is going to allow a number of additional efforts both within the Coalition and within the Association over the next few years. While we are working hard to support federal agency programs and budgets, particularly the Higher Education Act, the NEH preservation activities, and the projects of the national libraries, our ability to influence the policy debates and agency budgets is dependent upon member involvement and support in connecting with Congress. We do not operate political action committees, and we do not have the money to participate in a number of the traditional political activities of Washington. We rely on an informed membership that is willing to contact their representatives and to articulate our interests and our agenda. For example, there are 97 applications at the Department of Education for fiscal year 1992 funding of the Title II-C program, "Strengthening Research Library Resources." That is our program; those are mostly our applications. We are making a pitch. Currently the funding is $5.8 million for those 97 applications. We are urging Congress to increase that funding from $5.8

million to $10 million. Whether we are successful in increasing it or whether we can simply maintain it is going to depend on your willingness to write letters in support of that program. Every institution that is applying for that set of grants, has won grants previously, or expects to win them in the future needs to be involved. The same is true for funding of the NEH Brittle Book Program. Last year our members applied for roughly $16.1 million. This year we are lobbying for $18 million. We need your support in making that case.

I must deal with a couple of administrative matters in closing. Financially, we are balanced and running according to plan. In terms of staff, the Association has an extraordinary group of talented and hard-working folks who are working with your interests in mind. I salute their dedication and their zeal. They are an extraordinary group of people, and I appreciate the opportunity to work with them.

I do have disappointing news, though. It is disappointing from our point of view, but it is wonderful news for Sarah Pritchard. She has recently accepted a post as the head librarian at Smith College, a post which she will be taking in August. This is a tremendous opportunity for her to pursue some of her career interests, particularly in a women's studies collections, and also to contribute to a distinctive institution and to shape its future. We wish her luck. And with her departure, we must launch new recruitment efforts, and I seek your ideas and suggestions. The principal point we need to make in this appointment is the continuing investment in the statistics and services that we providing. We need a strong program, and we need someone who is willing and able to work in that area.

There is also a new staff member. Sarah Mooney has joined us as Communications Specialist. I hope you will greet her and welcome her. She joined us in January to take Pam Bixby's place. Pam got married and went to Guam.

The Association's office space situation is another important issue. For the past 25 years ARL has rented two floors at the American Political Science Association Building just off of Dupont Circle. With the addition of the Office of Scientific and Academic Publishing and the Office of Research and Development, we have outgrown the 4,300 square feet that now accommodates both staff and production activity. Our landlord wants some of our space and is therefore unwilling to give us any more. So we must now look at alternative office space. The Board has urged us to stay within the District of Columbia and within the Washington education environment. They have urged us to stay close to what is referred to as the "higher education ghetto." We spent the past several months looking at space options in the Dupont Circle area. While this is an opportune time to buy real estate in Washington, we unfortunately do not have the resources to do that. So we are looking at a long-term lease in either an older townhouse or a cost-effective office building. Clearly there are certain economic incentives to move into an office building, but some of the townhouse ambiance is lost. We have looked at roughly 50 possibilities, and we are narrowing those down to two or three distinct choices. In either of those strategies we are going to make a decision by this summer. Of course, we are reviewing this with the Board as we go along. The Board, and Arthur Curley in particular, has encouraged us to make sure that you are aware that this is going on and that there will be some turmoil involved with our facilities by the end of the year.

Finally, I want to personally thank you for your continuing support and involvement in the Association. In this past year, we have seen a wider range of participation from members than we have ever had. We are doing our best to keep abreast of that, but clearly that involvement and your commitment are the most important assets that we have when we talk about influencing the future research commitments. Thank you very much.

MR. CURLEY: Thank you, Duane. Are there any questions for Duane or any comments on portions of the report?

MR. CURLEY: Are there other questions or comments? It is important to me to say that the Association's agenda is truly a creative and important one. And having been on the Board for three years, I must say that while it is hard work and we grapple with real estate challenges and other issues, it is truly an honor and a privilege to work with a staff as creative as this one.

What we really do at Board meetings is react to the blaze of creative initiatives coming at us. I again, however, would be the first to insist that it is a collaborative effort. And as a member of the Board and as your president, it is important to me that you feel that you are a part of the shaping of this agenda. The staff and Board do not behave like a think-tank of creative people. There is a process, a very thorough process. It is one that begins in February with the laying out of staff proposals, but it is also based very much on the reactions and the planning of the committees with which they work. Then the staff works with the Board for several months to prioritize the allocation of resources. There are approximately 13 different processes and evaluations throughout the year. We try to spend a lot of time on committee appointments, assuring that every type of institution and part of the country is represented, thus bringing a variety and mix of representation to the shaping of the agenda.

In these times the Association must speak to the needs of research libraries, and while I for one feel that this collaborative relationship of Director, staff, Board, committees, and membership is an effective one, we are still reviewing Association performance and assessing the effectiveness of our structure.

One area we are working to strengthen is the process for establishing positions and policies on key issues affecting the future of research libraries. Duane reported on the AAU invitation. This has been an extraordinary process in which Duane, with the help of staff, has identified major areas of interest. Information flowed out to the Executive Committee, to the Board, and back and forth. And in an incredibly brief period of time we were able to come up with a document. I know people are quite impressed with the ability of Duane, staff, and the Association to identify so succinctly and dramatically the issues that confront research and higher education and libraries in these times.

As Duane has pointed out, the Association is expected to express views on a wide range of topics. In many instances these issues relate to formal association policy statements crafted from committee and membership discussions. There is, in fact, a policy manual to which staff turns regularly for guidance. In a rapidly changing environment such as the one we face, the number of new issues and policies confronting staff calls for a more systematic investment in policy development and for more opportunities for members to shape this policy development. We hope in the next few months to address this concern and certainly welcome your ideas and suggestions.

Many of you, I realize, come to this Business Meeting only to find out what exotic places we have chosen to visit, so I deliberately left it until last. This fall we will mark the 60th anniversary of the founding of the Association with a special program planned by our committee chair, Elaine Sloan. I would like to alert you to the Committee's intention to invite former ARL directors to the reception and banquet for this meeting in Washington, DC. We ask you to let us know the names and addresses of former ARL directors so they can be formally invited to join us at that event. I think it would be an awfully nice part of that formal celebration.

Next spring we will be hosted by the University of Hawaii in Honolulu. John Haak is both our library host and Chair of the Program Planning Committee. John's committee met earlier this week and is putting together an interesting program on Pacific Rim information resources, the trends in developing strategic linkages between research institutions in North America and in the Pacific.

The Spring 1994 meeting is set for Austin, Texas. And the Board voted to come to Boston in 1995. There is a great concentration of ARL libraries in the Boston area. Then in the spring of 1996 we go to Vancouver, British Columbia. Again, this is a matter on which the Board and the staff spend a lot of time and we welcome your reactions to it.

TOWN MEETING DISCUSSIONS

TOWN MEETING

MR. CURLEY: Good morning. Welcome to the Town Meeting. We are fortunate to have our colleague Don Koepp, Director of Libraries at Princeton University, who is going to address serials prices, issues, and strategies.

MR. KOEPP: Thank you, Arthur. My intention is not to address the entire problem.

MR. CURLEY: All solutions are welcome.

MR. KOEPP: I want to briefly review an improbable occurrence at Princeton last November. Then I want to suggest a way in which what happened there might possibly provide a basis for some future action within individual scholarly institutions and which, at the same time, might also lead to cooperative and legal national efforts. Finally, I want to identify a major problem with any such effort and suggest how we might overcome this problem.

What happened? As a matter of curiosity, a clerk in the Order Division decided to check a direct invoice (received on September 1, 1991, from a particular publisher against the previous invoice. She was astonished at the extraordinary increase, and passed that astonishment on to the head of the unit, who decided that it was information that the science librarians would want to have as early as possible. To my surprise, I was visited by a faculty library representative some time later who told me that his faculty had decided they wanted to cancel all the journals from the publisher whose invoice had attracted notice in the Order Division. I asked him if it might be wise to discuss this matter with some of the other faculties that also had subscriptions to this publisher's journals.

As a result, the six academic units most directly involved met and decided to cancel enough subscriptions to bring the total cost of subscriptions to roughly that of the previous year, plus the 13 percent that the Departments received in additional acquisition funds.

There may be a lesson here. Cancellations were made. They certainly would not have been made had I proposed them. They were made because of faculty frustration over runaway costs. The environment was quite different from what we have all experienced with faculty indifference to rising periodical costs over the past two decades. Somehow the focus on a particular publisher made it possible to strike back.

It also worked because it was a simple concept. There was to be no debate about the relative worth of the journals. Nor about the effect of page charges. Nor did we get involved in discussions of duplication. It was a very simple concept: a particular publisher had made a startling increase in cost and that, by itself, was sufficient reason to restrict the number of publications we would receive from that publisher.

Perhaps it worked because there was a narrow focus. No one was being asked to review an entire list. The number of periodicals under review was a very limited portion of the entire list in each department. And the exercise was equitable. Each science department was involved.

I felt this effort to be newsworthy, so I sent each of you copies of my letter to the publisher. (See *ARL 160*.)

It turned out to be very newsworthy indeed. It raised the issue of distributing news about costs. I think we should. And it seems to have been a contribution to the effort undertaken by ARL in establishing the Office of Scientific and Academic Publishing. There seems to be a firm consensus emerging that librarians can and should talk openly and freely about what journals cost by title, by publisher, or by whatever other breakdown we feel appropriate. Where might such disclosure take us? If one is a romantic about science journals in print form running back to the establishment of the Philosophical Society in 1665, there may be a faint hope that open discussion might reduce the cost of STM publications to an affordable level. Clearly, unless there are restrictions there are real possibilities that hard copy science and technology journals will cease to exist.

More practically, the open discussion of these increases does help us in terms of changing local perceptions. Princeton is a fairly conservative institution, fiscally and in every other way. My favorite example of that conservatism is the Committee of Three, the basic tenure review committee for the faculty. It was named the Committee of Three in 1880. It now has about 15 members, but it is still called the Committee of Three. That's real conservatism. I believe much of the willingness at Princeton to consider new approaches to the journal literature is a result of open discussion of whose journals cost what. The whole range of serials issues is getting a lot of attention. I'm not talking about attention from the minority of faculty, who are already convinced that the wave of the future is machine-readable text for everything. I am talking about the ordinary faculty member who simply looks at the journal literature (in whatever format it is available) as a basic tool of the trade. Increasingly, because of an awareness of cost, these ordinary folk are willing, even at Princeton, to look at alternate forms of publication as necessary, if not desirable. And believe it or not, they are increasingly willing to look at access instead of ownership.

One of the things that came from the November meeting was an agreement that, basically, these faculty members could divide the periodical lists in their discipline in half. Half of the periodicals, they believed, contained critical, essential materials that they needed regularly. The other half of their list contained articles they needed occasionally. If we could find ways to make the occasional needed article available to them in a timely fashion, they had no objection to subscription cancellations.

The other minor accomplishment of this exercise was to demonstrate that there is nothing illegal about cancelling, by publishers, on the basis of cost and announcing publicly what one has done.

What was the major problem in this exercise? The major problem, as I see it, is the availability of the cost data early enough. If one is going to make cancellations based on the publisher with the greatest increase in cost during any one year, one better know what all the publishers' increases are before any information is released.

Almost all of the discussions I have had with Pergamon Press have had to do with the accuracy of our data. There was never any contention that what we were doing was illegal. The way we calculated the cost increases was their concern. On that issue, I can only say that we were only concerned about the increase in cost of our unique combination of Pergamon journals between 1991 and 1992. Pergamon claimed a 19 percent increase. If we recalculate on their basis, we come up with 22 percent. The list of Princeton/Pergamon journals published in the ARL newsletter led some to claim refunds from subscription agencies because they believed they had been overcharged. And the subscription agencies agreed. So trying to figure out in the abstract what the cost actually will be before the invoice arrives is virtually impossible.

A major problem was establishing the cost of the Pergamon subscriptions handled by the American subscription agencies. Their typical pattern is to send a list of current subscriptions around the first of July. While they use the previous year's costs, they clearly would like a substantial down payment as soon as possible. The official invoice is not sent until much later, and even then, it does not have full information. In the meantime, we have drifted into a commitment based on the July 1 listing. It becomes progressively more difficult to cancel. In effect, a commitment has been made without actually knowing what the costs are going to be.

I would like to propose that a group of us work with the subscription agencies to come up with some deadline by which we must have firm information about costs for the ensuing fiscal year. I believe the date that would make it possible for a reasonable review of subscriptions would be October 1.

I do not believe there is any reason why subscription agencies could not provide firm prices by that date. And I am referring to firm publishers' prices. I am not referring to stability achieved by the payment of a fee to the subscription agency. It is my understanding that the publishers decide upon prices in the next calendar year. I am also told that they determine the exchange during the month of August. They are consequently in a position to send out their invoices on the first of September, giving us at least two or three months to consider the matter.

This timetable would seem to make it possible for the subscription agencies to give us firm prices by the first of October.

In my discussions with the Scholarly Communications Committee, we concluded that aiming for firm prices by October 1, 1992, was probably not practical. We should aim for October 1, 1993.

The fact that we can organize a group to address the problem of getting timely information could have some effect on our local constituencies. I believe strongly that our having and widely distributing information about what price increases are going to be — instead of always reporting on what they were — might have some effect on local constituencies and possibly even on publishers.

I'd be glad to answer any questions about the experience I've had, and I welcome observations about whether the membership thinks such an approach might work.

MS. HOGAN: We need to take a look at timing. I would like to urge the directors in the room to do it within the next month, because the North American Serial Interest Group (NASIG) is meeting at the end of June. And this is a time when most of our serials are ordered and people are interacting with vendors. If we start posing the questions that we can take to that conference now, we are going to get our signal out pretty early, and we may get some action faster than we thought. But it is up to us to ask the questions, because our serials people are used to doing business the way they've been doing it. They feel uncomfortable about proposing such a radical change as you're proposing.

MS. SHAPIRO: I also think that this is an opportune time for us to begin having discussions with our subscription agents. They are experiencing some severe financial problems because of our reductions in subscription lists. Now is a good time to work with the agents and try to get them to work with us on how they deal with the publishers. We need to let them know that we want firm prices, so that we do not receive these supplemental invoices for an entire year, and we want to try to work out some deals with them. They are in a highly competitive situation right now, and we can take advantage of that by beginning to talk, not only with our current agents, but also with some of the agents we do not deal with, as a means of getting them to deal more rationally with us.

MS. NUTTER: I would differ with Beth on the issue of whether our subscription agencies are in trouble because of our cancelled subscriptions. My understanding is that they get a percentage of the prices that we are paying and we're not reducing the amount that we are paying. What we are reducing is the number of subscriptions that we hold. So, in actuality, the amount of work they have to do is reduced. But their profits remain the same or grow. The other question I have is why we put up with supplemental invoices. We do not buy a book and then find out six months later that it cost 20 percent more than we thought it did. Don't we have the right to know what the price is going to be when we make that decision?

MR. KOEPP: This year we simply refused to issue payment based on supplemental invoices, and the sky did not fall. Our subscription was not cancelled. We may get the bill as part of next year's bill.

MR. WYATT: This is an issue on which we can get our president's attention. In Duane's negotiation with AAU on a joint project on research libraries there are three proposed committees. The third one basically deals with this issue and what can be done about the rising serial prices in the future. So it might be a good idea to talk with Duane about whether or not to go with that committee as well.

MS. MOBLEY: We have been involved in looking at the serials issue for the past 18 months. I am infinitely involved with all the ins and outs of the ordering process. We have off-loaded a number of records. And we have been able to keep up with various trends as they relate to our collection. I have also talked to our subscription agent, and we will be having a big pow-wow this summer. You may find some very interesting information, if you get into the details of what you are being charged or not charged by your subscription agent.

MR. LUCKER: This is not specifically related to our last point. But I am concerned about what I sense is going on with the broad set of issues having to do with scientific and technical journals. One of the ideas I seem to pick up is the idea of cancelling "the expensive stuff." Easy. I am concerned that we are negatively affecting our relationship with the scientific and technical community. I have no love for the commercial publishers. We have cancelled $400,000 worth of scientific and technical journals in the last two years at MIT. But there are some campuses represented by ARL libraries where science and technology is the dominant influence. In my experience, dealing with faculty and research staff in terms of the importance of this information and their reaction to some of these issues is quite different. How can they not be concerned and outraged? But they do have other concerns as well. I need to be sensitive to the relationship between science and technology and such things as sponsored research. I need to maintain a close working relationships with my faculty and research staff and, through them, the scientific and technical societies.

One reaction is that there is a lot of junk being published in science and technology. If you want to evaluate the cost of supporting research, look at the cost per student of supporting area studies as compared to science and technology. If you haven't done that calculation, you might try it. Take the total number of students involved in East Asian, Arabic, and Russian studies and divide it by the total cost, then do the same thing for science and technology — you would be surprised at the numbers. Unless you have some special relationship with the Third World, you will find that the average cost per student in the area studies is much higher than in science and technology.

What would we do if this crisis were in English literature? Would we react the same way? I think that attacking or going after journals that have the highest price increase is certainly meritorious. What about the journals that do not have any price increase and publish a lot of poor research? Are we not going to review the journals that do have stable prices but are also declining in quality? Why should we keep on paying for journals, even at the same price, every year if the quality of what is in that journal is not maintained?

As I read the various newsletters (electronic and otherwise) that address the crisis in publishing, promotions, and tenure, I see a tendency among librarians to try to tell the faculty what to publish. That is not our role. We should not tell the faculty what to publish or where to publish it. That is a faculty concern, and the administration needs to work on that as well.

We also need to be careful that a lot of scientific and technical publishers are also learned societies. And those societies are run by our faculty. The president of the National Academy of Sciences and past president of AAAS are both MIT faculty. I have to deal with these people on a regular basis. We should not overreact or take blanket action—do not just cancel "all the expensive stuff." We do not have time to review. We do not have time to ask people. That is a very dangerous position to take. And I hope that we would maintain our usual integrity and balance in dealing with this issue, as we have in the past.

MR. KOEPP: We did not necessarily cancel the most expensive journals. We identified the publishers whose overall increase was very great, and it was the faculty and the librarians involved who really sorted out that list. We cancelled more journals than we would have to, in numbers, because most of what was cancelled was fairly expensive. It did not turn out to be the most expensive journals that we cancelled, but we still reduced the cost from one publisher that was taking us out of our budget limit.

MR. STAM: The major issue with ARL in 1934 was the increasing cost of German subscription prices. I have not quite analyzed all of the roots of the problem, but I did find a note in the ARL archives in which James Wyatt's predecessor said that, in the last two years, they had already had to cancel four Springer titles.

MR. RODGERS: There is a great deal of merit in Jay Lucker's comments. We should not let those high prices completely distort our thinking. Our approach was to ask the faculties in every discipline for their opinions on serials, regardless of price (but adding up to 10 percent). We got cooperation from everyone.

MR. DeGENNARO: I appreciate and agree with much of what Jay is saying regarding caution. On the other hand, you have the attention of the publishers and many of our faculty. You have created a lot of momentum that we should build on, while taking into consideration Jay's cautions. We ought not to back off from this initiative. This is a problem that has been building up, and we need to do something. We can learn from this experience and try other steps. We do not need to go all the way down the road that Jay is afraid of, but we should not back off now.

MR. KOEPP: It is also important to recognize that many institutions have been driven all the way down that road. The cost of science periodicals just absorbed everything that there is to absorb. I regret to have focused on science and technology, but that is where the big costs are.

PARTICIPANT: I want to thank the staff for reminding us about the 1930s. What finally stabilized a similar situation was the activities of organizations such as ARL and the ALA, who made national representation of their faculty's needs to their government. And it was what stabilized the price of scientific journals after the Depression and during the 1930s.

MS. von WAHLDE: I am also on the Scholarly Communication Committee, and I have been trying to sort out my own reaction to Don Koepp's proposal. There are only two issues here. One is that it would be useful for us and our institutions to have management information earlier from our vendors. How one chooses to handle that management information is another institutional choice that could be quite different. We have all been captive to not knowing these costs until quite late in the year, having to deal with supplemental costs that follow in the coming year, and taking action or making changes in very short time frames. We have been hostages to some extent because of the business practices of our subscription vendors. I would welcome more opportunities to be thoughtful about what we do and to keep better tracking records of what is happening.

We have been sampling our serial increases for more than four years to get some feel for these price increases regardless of what our vendor tells us. We have been able to observe some trends that we think will be used by Peter Wagner to continue his study of price increases.

It is up to you, as directors, to determine whether or not to make a stand on a particular vendor, items, publisher, or type of material. I certainly support the first step in trying to get better and more accurate information sooner. The second step — what to do with that information — seems to be up to the institution.

MR. FRANTZ: I want to highlight a point that Don made earlier. There is a flow of book budget money from the humanities to the sciences for journals. If this continues, we estimate that our library will be out of money for books by 1998 because of the rising costs of all journals. Not only the English and history faculty are concerned about this, but the sciences are too.

MS. ABELL: Don, do I remember that Ralph Nader is a Princeton graduate?

MR. KOEPP: Yes. He recently came to Princeton for a tour of the library.

MS. ABELL: I would have pulled him back into the Serials Division.

MR. KOEPP: We had a long and interesting discussion about serials. He was fascinated.

MS. ABELL: I appreciate Barbara's distinction of the issues, but it strikes me that what is most interesting about your presentation and about this issue is the challenge to begin to act as enlightened consumers. That is, of course, the Nader connection. I was particularly struck by Susan's comments about why we pay supplemental invoices after we have bought something. The journal is surely not like the oil supply, yet it is almost as if we are in a commodities market and victimized by the commodities trends. That's not the case, and output is controllable. I do not mean to point the finger at STM, serials vendors, or publishers.

The point here is that we need to know more about the sequence and the timing of publication and pricing decisions. We need to know that it is important, on a voluntary basis, for some of us to take collective action. This is a consumers' union, and I am strongly supportive of acting in that fashion.

I also wonder if throwing ideas back and forth across the electronic networks is the most effective way of analyzing the issues or if in addition to that kind of communication, we might look at a small group to pull those data together and formulate a strategy for next year.

MR. KOEPP: Ann Okerson has certainly agreed, and I know that Duane has. I agree, and I believe the ARL staff agrees. You will hear more about this.

MS. DRAKE: As many of you know, we sent out requests for quotations to a variety of serials vendors. And I urge you to do it, too. You will learn a great deal in the process and will have the opportunity to grill vendors to find out the basis of their charges and timetables.

One of the things that we learned from quotation requests was that often the vendor does not know until December what the publisher is going to charge. There is a stream of relationships that we need to be aware of. We cannot sock it to the vendor if the vendor says, "Oh, I don't know what the publisher is going to charge." The vendor may say, "Okay, I'll take a risk and charge you X, but don't come back to me if the price turns out to be lower." Some trade-offs and choices may need to be made. Having just gone through the process, I would like to let you know there are a few pitfalls there.

MS. TAYLOR: Don, as a good tactician, I presume you have thought ahead to your opponent's next possible move. What is your next move if next year Pergamon or another publisher comes through with an increase that is on the same level? Do you go back again and cancel yet more of their journals? It seems to me this is sort of playing "chicken" with the publisher.

MR. KOEPP: Our tactic for next year is to do the best job we possibly can with the existing data to determine which publisher has the highest percentage increase. I don't think we can do that. So we may be in the position of being able to say we tried very hard, but we could not do it. We preserved the momentum locally by simply trying.

MR. CURLEY: You did a terrific job, Don. Thank you. Don and Ann would be happy to take the names of those who would like to cooperate.

MR. WEBSTER: The purpose of this next segment of the Town Meeting is to review a proposal for an Association of American Universities (AAU) research library agenda. This proposal recommends the creation of task forces to address three research library issues in which we believe AAU can play a helpful role.

The basic objective of the task forces would be to engage a range of university experts to assure that the perspective of research universities plays a defining role in the evolution of national information policies and practices. These discussions began with a concern about the economic pressures on research at the university. The discussions also explored visions for a new knowledge-diffusion environment that will be taking advantage of digitized information and telecommunication capabilities. Within these discussions there has always been a sense of optimism, a sense that many of these pressures and challenges represent a robust environment, an environment where knowledge and ideas are growing, an environment in which scientists and scholars are flourishing. There has also been a sense that there are many opportunities to encourage the flow and development of new knowledge and new ideas which is really at the heart of what universities are all about.

While the discussions and the proposal are rooted in a concern with some of the economic pressures that are facing institutions, they moved quite quickly to determine if we can turn these pressures into strategic responses and make opportunities out of those problems.

Joining us this morning is John Vaughn, Director of Federal Relations at the Association of American Universities. He has worked closely with the ARL staff over the past few years. He has a portfolio that includes graduate education, international studies, research libraries, and related arts and humanities issues. He has been with AAU since 1979, when he started on a one-year NSF study that he has been able to parlay into a long-term employment contract.

I do want to add an historical note. We have worked closely with John at AAU over the past few years, but ARL and AAU go back many years. David Stam mentioned discussions at ARL meetings in 1934. On the basis of a conversation that David and I had in the ARL offices recently, I had the chance to look at John McGowen's thesis on the history of ARL and noted that in the very first year that ARL was formed (1932), one of the initial problems presented to the Association was a proposal from the AAU Dissertation Committee that urged ARL to look at the problem of the lack of national access to dissertations produced annually in each of the institutions. And they urged ARL to find a way of producing annual lists of those theses that would cover all research universities. ARL responded by gaining significant grants from ACLS and the National Research Council to do that; $375 allowed them to begin the process of listing the theses. This effort we are adding now is expected to be a bit more ambitious, and I have asked John to describe both the origins of the presidents' interest and for the current status of the discussions to develop this agenda.

MR. VAUGHN: AAU is an organization of 56 American and two Canadian research universities. It was formed in 1900 by 14 universities that offered the Ph.D. That focus on doctoral education has been a defining characteristic of AAU ever since. Right now, our focus is on graduate professional education and academic research.

The Washington office is heavily involved in federal relations — a euphemism for lobbying. Because of that emphasis, we tend to focus our attention on those areas that the federal government emphasizes in its investments in the research universities. Thus, we are heavily involved in science policy and science budgets.

I have watched while AAU, for a little more than a decade, has tried to figure out how to deal with research library issues in some effective way. The institutions that are AAU members are represented by the presidents, chancellors, and presidents' organizations — there are a number of our member presidents that are very knowledgeable about and deeply committed to research library issues. We just have not figured out a way to engage them in research library issues through AAU.

Research library issues have always had to compete with science policies, with issues such as facilities funding, indirect costs, and other topics. Perhaps we may finally have gotten it right in this proposal. I'm fairly optimistic that we now have an opportunity to get AAU effectively engaged in research library issues.

As Duane said, the AAU role in research library issues was brought up by one of the AAU member presidents on the Research Committee about a year ago. He argued that AAU had to get involved in research library issues because, at least on his campus, the research library budget was the second fastest growing budget after health care costs. The characteristically practical fiscal orientation of the chief executive officer sparked this latest AAU library initiative, but there is much more to it than that. I think the presidents recognize that we are undergoing some fundamental changes in information policy, and the assignment came to me to try to figure out what AAU could do to make a difference. So I turned to Duane, and we came up with a two-step process: first, what are the key issues affecting research library issues now, and second, in what subset of those can AAU, as an organization, play an effective role?

The first part of this process was launched by an issues paper that Duane did last fall. Duane met with the AAU Education Committee at its fall meeting when the Committee discussed that paper. The Committee instructed us to develop a proposal for dealing with three areas tentatively identified as areas of focus. The three topics are: (1) acquisition and distribution of foreign language and area studies materials; (2) intellectual property rights in an electronic environment; and (3) a national strategy for managing scientific and technological information. We are trying to engage the full range of university expertise. That means involving librarians, people from the general counsel's office, provosts, and presidents. We will want to get government relations people involved in some of these topics.

The three task forces will report to a steering committee of AAU presidents. That group was just put together at our spring meeting this April. George Rupp, President of Rice University and Chairman of the AAU Education Committee, did a very wise thing by initially securing the agreement of Hanna Gray, President of the University of Chicago, to chair this steering committee of AAU presidents.

President Gray has a great deal of respect within AAU; her agreement to chair the effort helped secure the Committee's approval of an ambitious project and encouraged strong participation in her steering committee. The full committee, in addition to Hanna Gray as chair, includes: Dick Atkinson of UCSD, Myles Brand of Oregon, John Lombardi of Florida, Martin Massengale of Nebraska, and Chuck Vest of MIT.

The next step is to arrange a conference call with this group. But we have to work through two initial issues. First, the composition of the task forces. I encourage you to think about people on your campuses or other campuses who are knowledgeable about the three task force issues. Again, they are: the acquisition and distribution of foreign language and area studies materials, intellectual property rights in an electronic environment, and a national strategy for managing scientific and technological information. The Steering Committee still needs to review and refine the charges that we've put together for these three task forces. But I think the general focus is quite obvious. So if you would pass on to Duane or to me the names of people you think would be particularly effective for any one of these three task forces, we will try to put together the strongest possible group.

Second, we need to define the roles for each of the task forces. These task forces obviously do not need to, and in some cases should not, take the lead on their respective issues. There are vast numbers of groups and organizations working on them. The task forces will each have to define their own ways of addressing their issues and working with other organizations.

I hope that the task forces can play a helpful role, first of all in facilitating action on these areas. But more generally, I hope they evolve into a capacity for AAU to be a forum to educate university presidents and chancellors on research library issues, both at the national level and at the local institutional level.

In closing, I would like to say that this would not have happened without Duane and his staff. There were a lot of interactions, conversations, and a lot of writing. Duane has been particularly helpful in capturing the critical ideas and describing them in ways that the presidents could deal with. You are being very well served by Duane, as is the AAU. Thanks in large part to his efforts, we have a very promising AAU/ARL initiative ready to begin.

MR. CURLEY: Thank you very much.

GENERAL PROGRAM SESSION III

INTRODUCTION

MS. NUTTER: Good morning. Welcome to the third and final Program Session. In this section we are going to present a panel of experts who will lead discussions on the design and implementation of library development programs. Each of our panelists will take about five minutes to outline their topics. We will then choose from four concurrent sessions conducted by our panelists, each of whom is an experienced library development officer. Each session will be presented twice, allowing you to hear two of the four presentations. Our first presenter is Lynda Claassen, Head of Special Collections and Library Development Officer for the University of California at San Diego. In addition to special collections, Ms. Claassen is responsible for development, planning, and programs for the UCSD library. She directs special events and external relations, serves as a liaison to the friends of the UCSD library and other campus support groups, and has the primary responsibility for UCSD's NEH challenge campaign. She is the author of a 1992 ARL OMS flyer entitled, "Development and Fund Raising Programs in ARL Libraries." She's going to briefly present the results of the Quick-SPEC Survey on fund raising that we conducted just prior to this meeting.

DEVELOPING A WORKING RELATIONSHIP BETWEEN THE DIRECTOR AND THE DEVELOPMENT OFFICER

Lynda Claassen
University of California-San Diego

MS. CLAASSEN: It is a pleasure to be here. My first task is to convey to you some of the results of the recent SPEC survey conducted on developmental fund raising activities in ARL libraries. The survey itself was shaped by questions many of you had been posing to ARL staff. I hope these results will suggest the range and diversity of activities among us. The figures I am going to give you this morning are just the gross results. A lot of surveys were being returned even at the last moment, and I just tried to pull this together to report on at this meeting. After further refinement of these numbers, the results will be in the ARL SPEC kit to be published this summer. I appreciate the time that 87 of you took to answer yet another annoying survey.

Under organization of the library development program, 32% of the respondents indicated a program in which the library development office worked with a campus development office; 27% indicated that their library is part of the general fund raising activities for their campus; 21% indicated that a campus development officer had primary responsibility for library development; while only 13% stated that their library is solely responsible for its development program. And 5% indicated they had no development program at all. But that group, of course, included some of the national libraries. When it comes to defining library development programs, the range of budgets is enormous. A few institutions tipped in at the high end of the scale, indicating an annual development expense of $140,000 to $250,000; most were in the $40,000 to $90,000 range. The New York Public Library is in a world of its own, with a budget of $3.6 million for development.

A curiosity I noted among those institutions that share library development between the library and the campus development office is that 57% stated they had no budget, although they did report having staff. That made me wonder if some of us, like my own institution, cannibalize other library staff positions for development but still do not acknowledge those salaries as part of the total development cost.

Staffing for the library development office ranged from 0.25 FTE to 6 FTE, and Cornell won the staffing sweepstakes.

We have successfully raised funds for a wide variety of library programs: 79% have raised money for collections; 77% have raised funds for endowments, which is also largely raised for collections and for unrestricted funds; 56% have raised money for automation; 51% have raised funds for preservation; 49% have raised money for library buildings, and that includes the related programs of building renovation and furnishings; and 30% have managed to raise money for library operations.

When it came to major gifts given during the past three years, the range again was enormous — from zero to $5 million. This was also a category in which many institutions had no response at all, some indicating that this is confidential information, others saying that it was too difficult to extract that data from the campus development office or the campus foundation.

Fifty-three percent of the respondents have been involved in their institution's capital campaign during the past three years. Amounts raised for the library ranged from $115,000 to $40 million, although most fell within the $5 to $25 million range. And again, the New York Public Library is in a category by itself — it was off the chart at $300 million.

Forty-five percent of the survey respondents have an annual campaign for the library. The targeted audiences for such a campaign are the library friends, alumni, and "donors below a certain giving level." Most of our annual campaigns are organized by the library, followed by the campus development office, although some library friends groups actually organize the campaign. Most annual campaigns yield between $30,000 to $60,000 for the library, although the University of Illinois, Urbana-Champaign, realizes about $250,000.

Seventy-one percent of the respondents indicated that they do have a library friends group. Sixty-eight percent of those are staffed by the library, and 65% provide book borrowing privileges as a benefit of friends memberships for those members above a certain level of giving. Monies contributed annually by the friends range from $5,000 to $75,000, with most falling in the $30,000 to $50,000 range. Illinois again won the sweeps in that category with the $250,000 contributed by its 4,000 friends members. And this, of course, documents Joan Hood's comments about the utility of friends groups as a vehicle for an annual fund.

Finally, 47% of the respondents prepare some kind of annual report for distribution outside the library. And 63% of us have prepared case statements for specific fund raising efforts. And to the University of California-Santa Barbara must go the award for the best excuse for not using the prepared case statement. The chancellor was indicted for embezzlement and the project was dropped. That is enough to put a kink in anyone's fund raising program.

MS. NUTTER: Thank you, Lynda. We will all look forward to seeing that SPEC survey. It is fascinating. Joan Hood, our next presenter, will be talking about essential components of a library development program. Joan is Director of Development and Public Affairs for the University of Illinois, Urbana-Champaign, library system. She is an incorporator, past president, and distinguished board member of Friends of Libraries USA, past president of the Illinois Center For the Book, and a founder of DORAL, the Development Officers of Research Academic Libraries. She has lectured widely on library development. During the past six years the library development office has raised more than $12 million in private support and has qualified for a $1 million National Endowment for the Humanities Challenge Grant.

ESSENTIAL COMPONENTS OF A LIBRARY DEVELOPMENT PROGRAM

Joan Hood
University of Illinois at Urbana-Champaign

MS. HOOD: Good morning. It is a pleasure to discuss fund raising for research libraries with you. In the spring of 1987, a small group of us charged with development responsibilities for our respective libraries met to organize an informal roundtable that would afford us a forum for discussing similar concerns and solutions once or twice a year. We named that group the Development Officers of Research Academic Libraries (DORAL), the only acronym that we could devise that we could pronounce. This group grew rapidly to a 35-member institution, public and private. For many reasons we decided to cap the number at 35. For the last year we've undertaken discussions with ARL directors and staff about ways to broaden communication concerning library development and to begin to address the educational needs of library development professionals in this rapidly expanding market.

On behalf of DORAL, I thank each of you for dedicating your membership meeting this spring to the leadership role in library fund raising. For the future we are discussing other collaborative efforts with ARL.

A December 1990 article in *The New York Times* stated that the number-one priority for higher educational institutions in the '90s would be adequate funding, the quest for additional revenue sources.

We are two years into that decade, and most of us are experiencing extraordinary budgetary pressures. At Illinois the fiscal '92 budget was the most difficult we have experienced. It appears that fiscal '93 poses even more of a challenge, and the end is nowhere in sight. Obviously, we know that our situation is replicated throughout the country.

My goal today is to dispel some myths about library fund raising and to offer a basic plan for those who are embarking on a development program and to outline some ideas for strengthening existing programs.

For years we have heard about the difficulties in raising funds for libraries. Do not believe it for a minute. We have seen a great breakthrough in that area. Libraries are occupying central positions in capital campaigns. They are consistently raising large amounts of money to augment floundering state budgets and to shore up private ones. In our library we have raised over $12 million in the last six years. And the University has not been in a capital campaign.

In a professional world that abounds in acronyms, I'm going to add my own for a successful library fund raising strategy. I call it my PAPP Theory, P-A-P-P. The first "P" stands for *positioning*, positioning the library vis-a-vis the campus or the university. The library must be at the forefront of university goals and commitments. We are described as the heart of the university, central to the mission. These are fine words, but we must see concrete evidence of these descriptions. It must be reflex on the part of the university to include the library in a capital campaign or specific project.

The "A" stands for *access*, solicitation access to the alumni/donor base. The library has no graduates of its own. However, we hope that everyone who attended the university used the library's resources. If the library does not have access to the central donor base, it will have virtually no market. Access to that base must be granted at the highest level possible at the university.

The second "P" stands for *partnerships*, partnerships with other campus units. Libraries cut across every discipline. They support the academic programs across the university. We must forge new partnerships with units to create successful joint ventures. David Olien yesterday described our successful program with the College of Engineering. We are also engaged in a cooperative effort with the College of Agriculture to build a new agriculture library. The library has had successful relationships with the School of Chemical Sciences, with which we raised over $200,000 this past year for an endowment to support our chemistry library. We are working with the School of Life Sciences to raise an endowment for the biology library. And we've had successful relationships with other departments to raise current-use funds for other departmental libraries in our system. We must work creatively to add new revenue sources for the library.

The last "P" is for a big dose of *patience*. Development is a long-term process carried out over years and decades. It must not be regarded as short-term, but as a critical investment for the future. In my session we will be discussing ways to put these ideas into action.

MS. NUTTER: Thank you, Joan. Barbara Dewey of the University of Iowa will present the session entitled, "Library Development as Part of the Overall Strategic Planning Process." Barbara Dewey is director of administrative and access services at Iowa, responsible for personnel, budget, THE overall planning process, facilities planning, development, access services, and central technical services. I'm amazed at the range of responsibilities. In her previous position as Assistant to the University Librarian, she coordinated the planning process and recently completed a five-year strategic plan, in conjunction with a university-wide effort to design and implement public relations outreach and development plans, which resulted in the receipt of grants from The Mellon Foundation, the National Endowment for the Arts, and the Japan Foundation, to name a few, and participation in two major fund raising campaigns. Barbara Dewey is also an active member of DORAL, and she's the editor of a just-published book of practical essays, many of which were written by members of DORAL. The book is entitled *Raising Money for Academic and Research Libraries*. I urge all of you to get a copy of it. It was published in 1991 by Neal Shuman.

LIBRARY DEVELOPMENT AS PART OF THE OVERALL STRATEGIC PLANNING PROCESS

Barbara I. Dewey
University of Iowa

MS. DEWEY: I would like to thank Duane Webster and ARL for having this program. It is a very important topic. I want to tell you right off though, I'm not, and I don't consider myself, an expert in library development. I have a lot of administrative responsibilities at Iowa, and my background is more in line with some of the other areas. When I applied for the job of Assistant to the University Librarian, I knew that the word "development" was in the job description, and the words "planning" and "research studies" and so forth. It became clear to me, as Sheila Creth was talking to me about some of their hopes for the development plan, that she was indeed talking about fund raising. That points out some of the educational needs we have in the field.

I taught a class in academic librarianship last spring at the University of Iowa, and I asked the 30 students if they knew what library development meant. Many of them had no idea. So the word "development" is somewhat vague for our outside audience. But the topic that I have been asked to discuss, strategic planning, we all know a lot about.

I am not going to focus on the strategic planning process as such. But instead I would like to provide a discussion that focuses on the importance of integrating aspects of the library development program within the context of campus strategic planning. I will just list some issues that we might want to discuss in the session. Joan mentioned, of course, the library's position. In my discussion I will discuss this issue in terms of campus-wide strategic priority setting and the implications for our development efforts.

Another topic is the articulation of library-related development needs in the campus strategic plan and in academic department and collegiate plans and how the library director can help ensure that library needs are included and integrated throughout many of the separate departmental plans on the campus.

Also, the components of a possible library development/public relations section of the library's strategic plan are crucial. The role of the strategic plan in fund raising is another consideration. I will discuss audiences such as campus constituencies, library staff, campus administrators, potential donors, foundations and special development staff, alumni, and other audiences that we might use the strategic plan with.

The role of external funding priorities within the context of overall budget setting is another key topic along with staffing implications for achievement of strategic development goals. Lynda Claassen mentioned a feature of many of our libraries, that we are "cannibalizing" parts of staff members to achieve our goals. We can also talk a little bit about specific work plans, which I think are very important to ensure that the strategic plan is not just a process but is a very result-oriented document.

MS. NUTTER: Thank you, Barbara. Lynda Claassen whom you have already met will discuss building a good working relationship between a library development officer and the library director. Don Riggs, Dean of the university library at the University of Michigan, will react to Ms. Claassen's comments. Don Riggs probably does not need an introduction, but I want to note that, in his two years at Michigan and 12 years at Arizona State University, he has provided leadership for successful library development programs. I left it to Lynda and Don to determine which of them will provide you with the five-minute overview.

DEVELOPING A WORKING RELATIONSHIP BETWEEN THE DIRECTOR AND THE DEVELOPMENT OFFICER

Donald Riggs
University of Michigan

MR. RIGGS: Good morning. I am going to talk about the working relationship between the director and the library development officer. As you know, based on Lynda's survey, this is not something that is a mature process in our libraries. Many of us may not have development officers. Library development is not something new: librarians have been doing some form of library development probably since the founding of Harvard College. But the idea of actually having library development programs and staff in addition to the director is something fairly new. In my opinion, I do not think there is anything more important than having a good working relationship between the director and the library development officer. If we do not have that, we are in deep trouble.

It is also my opinion that a half-baked library development program is probably worse than no program whatsoever. The director and the development officer must work as a team. And there must be good chemistry between these individuals. They must engage in joint planning and have mutual trust. They must be direct and honest with each other and have an understanding of what particular part of the development program each will focus on. There must be open communication.

When I lived in Arizona, there was a term that was used, "rugged individualism." To use a western analogy in fund raising — you can't circle one wagon. It has to be a team approach. Furthermore, the director must have a firm commitment. This person must "walk and talk" library development, and fund raisers must put their money where their mouths are.

There should be a particular risk taking involved in development. Mark Twain said, "The person who grabs the cat by the tail learns 66 percent more than the person who lets the cat walk by." Risk taking in library development must be calculated risk taking. We're looking forward to our session to talk about the working relationship between these two individuals.

MS. NUTTER: Thank you, Don. And last but not least, Victoria Steele of the University of Southern California will present a session on innovative strategies for raising money. Before I relinquish the podium to Vicky, I have been asked by a number of you to provide publication information about Vicky Steele and Steve Elder's new book. ALA Books is the publisher of *Becoming a Fund Raiser.*

INNOVATIVE STRATEGIES FOR RAISING MONEY

Victoria Steele
University of Southern California

MS. STEELE: As Susan mentioned, my topic is innovative strategies for fund raising. Perhaps that topic is better discussed in break-out sessions where we can interact. Will I reveal all my secrets? The answer is: Yes. And I am going to tell you the biggest one right now. Probably the most innovative thing you can do in fund raising is not to be too innovative. It is a little bit like the arts. Maybe the most avant-garde thing you can do in the arts is be traditional.

Remember what we said yesterday about concentrating on a few major donor prospects? That is probably the most productive thing to do. That said, I think there are some things that will work everywhere, and I would like to share some of those ideas with you. I have also tried a few things that I do not think will work anywhere, and I will share those too.

MS. NUTTER: Since there is no formal plenary session at the end of this meeting, I want to thank in advance all of our speakers, directors, and guests for a stimulating and productive meeting. As program chair I also want to pay a special tribute to those who worked with me to put this program together. These people really did all of the work. I am especially grateful to Jaia Barrett, who worked very hard and long on this program. We had an extraordinary response from all of the speakers and library directors whom we approached. It was because of you that we have been able to put together what I think has been an effective program. You have all done an outstanding job, which reflects your commitment to library fund raising and to the critical role of the library director in leading the fund raising effort.

I guess we will not see each other again until Washington in the fall. I wish you all a safe trip home, and I look forward to seeing you then.

Break out sessions were not recorded.

APPENDICES

REPORT ON ASSOCIATION ACTIVITIES

OCTOBER 1991 - MAY 1992

SUMMARY

A central element of Association activities is building partnerships with other leadership groups to advance research library interests. The Association of American Universities is joining with ARL to operate three task forces addressing areas of current concern. The Office of Scientific and Academic Publishing has established many new linkages, and in April co-sponsored a "Symposium on Scholarly Publishing on the Networks" with the American Mathematical Society and the Association of American University Presses. The National Research Council is considering the inclusion of library data modelled on ARL's in an updated assessment of research doctoral programs. The National Humanities Alliance, ALA and ARL presented a Congressional breakfast briefing on preservation issues. The ARL/CAUSE/EDUCOM Coalition for Networked Information has developed an exciting and innovative array of projects and priorities. After many years of informal collaboration, the ARL is now an affiliate member of the American Council of Learned Societies. More about these and other projects is described herein.

Highlights of ARL program activities since the October membership meeting include:

- 1991 *Statistics* and *Salary Survey* published, three years of data issued on disk, page 106
- IPEDS, NISO, NACUBO, and NRC statistics projects draw on ARL, pages 106-107
- ARL Newsletter wins award, page 108
- ARL Directors electronic mail list is launched, page 109
- Spring membership meeting focuses on library fund raising, page 109
- 1992 marks ARL sixtieth anniversary year, page 109
- Management Committee forms three new subgroups, page 112
- Latest SPEC Kit focuses on flexible workplace policies, page 113
- OMS plans conference on fee-based services, page 114
- TQM initiative underway, page 115
- NREN legislation signed into law, page 116
- Congressional breakfast briefing on preservation is a success, page 117
- GIS literacy project generates broad response, pages 117 and 131
- Proceedings of Roundtable on Mass Deacidification published, page 119
- NCIP looks at microcomputer-based Conspectus product, page 119

- Work Group on Scientific and Technical Information formed, page 121`
- ARL/RLG Interlibrary Loan Cost Study in progress, pages 121 and 131
- Scholarly societies actively interested in OSAP issues, pages 122-124
- OSAP conducts seminar on electronic publishing, page 125
- Second edition of *Directory of Electronic Journals* published, page 125
- International issues to be highlighted at ARL membership meetings, page 126
- ARL discusses collaborative library programs at conference in Eastern Europe, pages 126-127
- ARL has balanced budget for 1991, page 127
- Sarah Mooney is new Communications Specialist, page 128
- Space planning is focus of office operations, page 128
- NEH extends NRMM RECON project, page 129
- Foreign acquisitions study begins, advisory groups formed, pages 130-131
- Cultural Diversity project continues with support from H.W. Wilson, page 131
- Coalition for Networked Information priorities pursued at Task Force Meetings, pages 133-141
- Indiana University to play lead role in CNI TopNode project, page 135
- CNI and ALA join to address GPO WINDO proposals, pages 140-141

ARL CAPABILITIES

Report edited by Sarah Pritchard with ARL program officers, April 23, 1992.

I. Statistics

The statistics capability is organized around collecting and distributing quantifiable information describing the characteristics of research libraries. This capability includes operation of the ARL Statistics Committee, and collaboration with other national and international library statistics programs.

Statistics program development. A thorough manual was completed documenting processing and procedures to be followed by support staff working on different elements of the statistics program. The research assistant position in support of the program was formalized through the Catholic University School of Library and Information Studies as an ongoing internship opportunity. Eileen Finer, the research assistant since September 1990, found professional employment in early 1992, and was succeeded in the ARL position by Patricia Brennan, who worked as an undergraduate in several units of the University of Maryland's McKeldin Library.

Two occasions were opened for ARL members and others to discuss the content and strategies of the Statistics Program. At the October 1991 Membership Meeting, the Statistics Committee participated in the strategy forum sponsored by the Management Committee, and Irene Hoadley of Texas A&M University gave a provocative talk on current debates being addressed by the Statistics Committee, including the ARL Index. Framed by excerpts from her talk, new directions and continuing conceptual issues in the Statistics Program were highlighted in *ARL: A Bimonthly Newsletter of Research Library Issues and Actions* in March 1992.

ARL Statistics. The 1991 *Annual Salary Survey*, and the *ARL Statistics, 1990-91*, were published on schedule in January and February 1992. The *Statistics* incorporated a new table for government documents holdings, and reflected the integration of documents holdings into data for volumes, volumes added, microforms and serials. A new graph developed by consultant Kendon Stubbs showed the drastic patterns of increasing interlibrary loan versus declining monograph and serial purchases. The graph has already had an influential impact in several audiences, and ARL receives regular requests for permission to reproduce the statistics graphs in other publications. The ARL Index was calculated by Mr. Stubbs and issued in late January. The Index and general statistics were again solicited for inclusion in the *Chronicle of Higher Education*. In March 1992, the tables were issued showing library expenditures as a percentage of university educational and general ("E&G") expenditures; a ten-year compilation of these data is planned for 1992. A diskette with the last three years of ARL statistics was compiled, verified and documented by Kendon Stubbs and distributed by ARL in late April. Analysis of the responses to the 1990-91 ARL Preservation Statistics questionnaire is almost complete, and publication of the 1990-91 report is planned for May 1992.

Access issues. The Statistics Program is continuing to look at access measures, facilities, and measures related to automation and electronic resources. Analysis is underway of the "Supplementary Statistics," including measures of electronic and traditional public services, and of the new "Inventory of Library Access Characteristics: Facilities and Services." The Committee will hold a special meeting during the May 1992 membership meeting to conduct in-depth discussions of the potential of these new measures and of other developments in documenting access, automation and expenditures.

Liaison with external statistical programs. ARL has actively sought to engage with other library and higher education data gathering efforts; these efforts have both extended the influence of ARL perspectives and experience, and have in turn assisted ARL in refining its data gathering and measurement approaches. Sarah Pritchard made a formal presentation before the Advisory Committee on Research/Doctorate Programs of the **National Research Council**, to discuss the inclusion of library data in an updated statistical assessment of research doctoral programs. She participated in a meeting in March 1992 of the ad hoc committee revising the **NISO** library statistics standard, now to be circulated for voting. Ms. Pritchard conferred on technical, procedural and policy aspects of library statistics with representatives from **NCLIS**, the **ALA Office for Research**, the **Association of College and Research Libraries**, and the **Canadian Association of Research Libraries**. She also represented ARL as an observer at a seminar on policy and research in public library statistics, cosponsored by NCLIS, ALA, and the National Center for Education Statistics.

ARL continued to participate in a project coordinated by the National Center for Education Statistics, NCLIS, and the ALA Office for Research to improve the academic library statistics collected by the NCES **Integrated Postsecondary Education Data System (IPEDS)**. Kent Hendrickson (ARL Statistics Committee chair), Kendon Stubbs and Sarah Pritchard represent ARL on the advisory committee, which met during the ALA Midwinter Meeting in San Antonio. The committee concluded its series of revisions to the 1992 forms and made significant progress on new measures for 1994, with particular attention to more detailed categories for automation resources, expenditures and services. Reporting on both IPEDS and ARL initiatives, Kent Hendrickson, Sarah Pritchard and Ronald Naylor of the University of Miami participated in the November and March meetings of the Task Force of the **Coalition for Networked Information**; synergy sessions were held to address fundamental issues of measurement and evaluation in a networked environment, and the agenda of the CNI Work Group on Management and Professional and User Education now includes several aspects of metrics.

The **National Association of College and University Business Officers (NACUBO)** has embarked on a "benchmarking" project to develop productivity and performance ratios for a wide range of campus administrative units (i.e. excluding academic departments), including the library. ARL received information from several member libraries asked to participate in the pilot study, and held lengthy consultations with the specialists from the accounting firm of Coopers and Lybrand, which is carrying out the research.

II. Communications and External Relations

The communications capability is designed to apprise ARL members of current developments of importance to research libraries, inform the library profession of ARL positions on issues of importance to research libraries, influence policy and decision-makers within higher education and other areas related to research and scholarship, and educate academic communities concerning research library issues. Within this capability is the coordination of ongoing efforts across all program areas to maintain and extend ARL's relationships with other organizations in the scholarly community.

Program development. A transition occurred in the Communications Specialist position, redefined and filled in early 1991, as Pamela Bixby left for an overseas post and Sarah Mooney was hired in January 1992. Ms. Mooney has a background in journalism, association and desktop publishing, and technical writing. Providing communications support across Executive Office capabilities, the Communications Specialist worked with program staff to produce marketing materials, conference brochures, proceedings and other publications. Visits were conducted and bids solicited from printers to assess available options for the production of ARL publications.

Newsletter. Beginning with issue no. 159 (November 1991), the position of senior editor was taken over by Jaia Barrett, director of the Office of Research and Development. Sarah Mooney is managing editor. Issues no. 160, 161 and 162 were produced in January, March and May, with continuing richness in content and design. A very favorable review of the newsletter was written by Bill Katz in the November 15, 1991 issue of *Library Journal*. ARL was honored when the newsletter won first prize in its category in the 1991 competition sponsored by the trade weekly *Association Trends*.

Minutes of the Meeting. The text of *"Is the Library a Place?" Minutes of the 118th Meeting* (May 1991) was edited and distributed, bearing a redesigned cover and page format, in mid-December. The bilingual program brochure for the May meeting won an honorable mention in the *Association Trends* annual competition for association publications. Editing is in the final stages for *Building a New Agenda: Economic Pressures, Technological Innovation, and Access to Information*, proceedings of the October 1991 meeting, which should be available by late May 1992.

Relations with the press and publishing community. Press releases were issued in the last several months on Arthur Curley as ARL President, Visiting Program Officers Dan Hazen, Gayle Garlock and Assunta Pisani, publication of the ARL Statistics and Salary Survey, issuance of the May 1990 *Minutes*, the change in editorship and the award won by the ARL newsletter, the second edition of the directory of electronic publications, and on new grants received for the RLG/ILL cost study, the NRMM Recon project, and the cultural diversity project. Press coverage included quotations, news items and articles in the *Electronic Public Information Newsletter, Chronicle of Higher Education, American Libraries, Library Journal, LJ Hotline, ACLS Newsletter, Manage IT (CAUSE), NFAIS Newsletter,* and *College and Research Libraries News*. Recent inquiries about ARL programs and policies have come from the *Boston Globe*, the AFL-CIO, Faxon, and a variety of publishers and reporters. Formal reviews of ARL publications have appeared in the *Journal of Academic Librarianship, Library Journal, American Libraries, ALCTS Newsletter, Library Resources and Technical Services, College and Research Libraries,* and *Preview*.

ARL maintained active membership in the Association of American Publishers, the Association of American University Presses, and others; more is documented in the section on the Office of Scientific and Academic Publishing.

Relations with the scholarly community and external groups. Communication on both technical and policy levels is documented under all individual programs, especially the Office of Scientific and Academic Publishing, the Office of Research and Development, and the Federal Relations and Information Policy capability. Activities at the executive level during this period included extensive participation in activities of the National Humanities Alliance, the Association of American Universities, the American Council on Education and the American Council of Learned Societies. In October 1991, ARL became an official affiliate member of ACLS. The Executive Director also attended meetings of the Council of Higher Education Management Associations (CHEMA), a federation to which ARL now belongs that comprises CAUSE, NACUBO, the National Association of College Stores and others.

Interaction with other library and information groups included ongoing discussions with ALA, SLA, AALL, CLR, CAUSE and EDUCOM. At the meeting of the ARL Board of Directors in February 1992, James Michalko, president of the Research Libraries Group, was invited to outline current RLG programs and the status of cooperative projects between RLG and ARL.

Electronic communications at ARL. Several ARL electronic mail lists were launched in early 1992 housed on the DEC Ultrix server operated by the Coalition for Networked Information, supporting communication among ARL directors and for various special committees and project groups. This computer is a node on the Internet and is also beginning to be used to support file sharing and information services. Electronic publications issued in the last few months include versions of the *ARL Statistics* and the *Directory of Electronic Journals, Newsletters and Academic Discussion Lists.*

III. ARL Membership Meetings

The ARL membership meeting capability is designed to develop programs on topics of interest to ARL membership, schedule and manage meetings and activities, coordinate on-site local arrangements, and evaluate the success of these meetings. The May meeting emphasizes a topical program, coordinated by the ARL President-elect; the October meeting focuses on internal finances, elections and strategic planning.

October 1991. The Fall membership meeting *Building a New Agenda: Economic Pressures, Technological Innovation, and Access to Information,* presented a framework for developing consensus on strategic directions for ARL action on research library issues. Assessing the needs of libraries facing both new programmatic demands and fiscal constraints at local and national levels, ARL committees led discussions related to the impact on, and possible responses from, their areas of expertise (for example preservation, collection development, access to research resources). The Howard University Library hosted the opening reception with welcoming remarks from university president Dr. Franklyn Jenifer. Guest speakers at lunch and dinner events included Richard Lucier of the University of California-San Francisco, speaking on "knowledge management," and David Bartlett, president of the Association of American University Presses, addressing trends in university publishing and areas of potential collaboration with research libraries. A panel on "Foundation Trends" included David Penniman of the Council on Library Resources, Richard Ekman of the Andrew W. Mellon Foundation, and Loren Renz of the Foundation Center.

May 1992. Charleston, South Carolina is the location of the 120th meeting, launching ARL's sixtieth anniversary year. The theme of the meeting is "The Leadership Role in Library Fund Raising," and the program was put together with assistance from the DORAL (Development Officers in Research and Academic Libraries). The University of South Carolina will host a reception in the Gibbes Museum of Art. In addition, town meeting sessions will be held on strategic responses to serials price increases, and the research library "action agenda" being developed jointly by ARL with the Association of American Universities. A luncheon panel on "International Library Issues" will feature Robert Wedgeworth, IFLA President; Colin Steele, University Librarian at the Australian National University; and Michael Smethurst of the British Library.

The Fall 1992 Membership Meeting in Washington, D.C., October 21 to 23, will be an opportunity to celebrate the past and future of ARL on the occasion of the 60th anniversary (121st meeting). The ARL Sixtieth Anniversary Committee, led by Elaine Sloan, is considering a variety of programmatic options, and ARL staff are working to develop appropriate materials. The Smithsonian Institution Libraries have again offered to arrange a special tour (pending the availability of the hall) for ARL directors, this time viewing the "Seeds of Change" exhibition.

The 1993 meeting will be hosted by the University of Hawaii and will be held at the Hilton Hawaiian Village in Honolulu, Hawaii, May 3 to 7, 1993. A program committee was appointed and will develop sessions around topics related to Pacific Rim collections and information issues. The May 1994 meeting will be hosted by the University of Texas-Austin.

IV. Governance

The capability for governance of the Association is intended to represent prudently the interests of ARL members in directing the business of the Association. The governing body is the ARL Board of Directors. The functions of the Board include: to establish operating policies, budgets, and fiscal controls; to approve long-range plans; to modify or clarify the ARL mission and continuing objectives; to monitor performance and the succession of the Executive Director; and to represent ARL to the community. The staff role in this capability is to provide information to the Board adequate to fulfill its responsibilities in a knowledgeable and expeditious manner. The Board establishes several committees to help achieve effective governance of the Association.

Program and budget review. In October 1991, the ARL membership ratified the dues level for 1992 requested by the Board of Directors to support the financial strategy proposed for 1992. At its February meeting, the Board reviewed the framework of program capabilities and the priorities for resource allocation developed by the Executive Director and staff to implement the program objectives and financial strategies.

Committee appointments. A complete slate of appointments was made by the Executive Committee in December, bringing 90 ARL directors into participation in the Association. New groups formed included the Work Group on Scientific and Technical Information, the ARL Sixtieth Anniversary Committee, the 1993 Program Committee, the Advisory Committee on the ARL/RLG Interlibrary Loan Study, and the Advisory Group of AULs assisting in the Foreign Publications project. The Management Committee formed three subgroups, covering library education and recruitment, organizational effectiveness, and human resources development and utilization.

Membership. The Membership Committee chaired by Margaret Otto reported on its review of the membership potential of the Auburn University Library at the February Board meeting. The Board voted to bring the matter before the full membership for consideration at the May 1992 meeting.

Board elections. Three member library representatives were elected to the ARL Board of Directors in October 1991. In response to concerns expressed at the ARL Business Meeting, the Board made some clarifications in the election procedures and issued an explanatory document to members.

Status reports on standing committee and selected advisory and project group activities follow; more information is included under various capabilities:

Committee on Information Policies:
Chair, Merrily Taylor; Staff, Prue Adler
1992 Agenda of issues: U.S. government information policies, reauthorization of HEA, NREN legislation, telecommunications, copyright law, GIS literacy project, and issues surrounding intellectual property concerns in an electronic environment.

Committee on Access to Information Resources:

Chair, Nancy Eaton; Staff, Jaia Barrett

1992 Agenda of issues: reconceptualization of resource sharing in an electronic age, supporting and monitoring the bibliographic control efforts of the Library of Congress and NCCP, RLG Interlibrary Loan Cost study, emerging role of data utilities and national networks.

Committee on Research Collections:

Chair, Charles Osburn; Staff, Jutta Reed-Scott

1992 Agenda of issues: foreign acquisitions project, NCIP and the Conspectus, and consideration of the impact of information technology on collection development strategies.

Committee on Preservation of Research Library Materials:

Chair, William Studer; Staff, Jutta Reed-Scott

1992 Agenda of issues: supporting mass deacidification initiative, promoting use of permanent paper, development of a North American strategy for preservation, preservation statistics, and retrospective conversion of the National Register of Microform Masters (NRMM).

Committee on the Management of Research Library Resources:

Chair, Joanne Euster; Staff, Susan Jurow

1992 Agenda of issues: organizational effectiveness, human resources utilization and development, and library education and recruitment.

Committee on Scholarly Communication:

Chair, Paul Gherman; Staff, Ann Okerson

1992 Agenda of issues: encouragement of electronic journal experiments, strategy development in the area of scholarly publishing, promotion of change in management of intellectual property rights, advance alliances with other scholarly and higher education groups.

Advisory Committee on ARL Statistics:

Chair, Kent Hendrickson; Staff, Sarah Pritchard

1992 Agenda of issues: analyzing expenditure categories, refining government documents measures, reviewing access and automation measures, developing machine-readable formats for data collection, monitoring external statistics projects in the library and higher education arena.

Task Force on Minority Recruitment:

Chair, Joseph Boissé; Staff, Susan Jurow

Assignment: to develop policies and proposals for ARL initiatives in the areas of recruitment, retention, and workplace integration of minorities in professional positions in research libraries.

Working Group on Future Online Library Information Systems:

Chair, Paula Kaufman; Staff, Jaia Barrett

Assignment: to develop a planning process leading to a "white paper" on research library future needs for online library information systems.

Advisory Committee on the Office of Management Services:

Chair, Joanne Euster; Staff, Susan Jurow

Assignment: to advise on strategy development for ongoing operations, provide guidance in performance and program effectiveness assessment, and review OMS budget and financial plans.

V. Management Services (Office of Management Services (OMS))

This capability encompasses the provision of consulting, training and publishing services on the management of human and material resources in libraries. Activities are carried out through the Office of Management Services, including OMS Consulting and Organizational Development Program, OMS Information Services Program, and OMS Training and Staff Development Program. This capability supports the Committee on the Management of Research Library Resources, the Advisory Committee on the OMS, and the Minority Recruitment Task Force.

Committee on the Management of Research Library Resources

Based on the work begun in 1990 to explore committee structures to more effectively engage members to action on initiatives for the Association in the area of management issues for academic and research libraries, the Committee has formed three working subgroups to facilitate development of ARL initiatives in the areas identified previously. Two of these working groups relate directly to the most serious concerns of ARL Directors: Organizational Effectiveness, and Human Resource Utilization and Development. The third group, focusing on Library Education and Recruitment, is an organizational response to a long-term issue as well as an area in which the Association has a responsibility to provide leadership. These working groups will meet to identify activities and projects in the management area to be recommended for action to ARL staff, OMS staff, and the membership.

The advisory role of this committee to the OMS was transferred to the new Advisory Committee on the Office of Management Services to allow the Management Committee to focus energy and attention on the broader ARL agenda in this area. It is assumed that the Management Committee will continue to work closely with the OMS in advising on the direction and development of new programs and services.

Advisory Committee for the OMS

This Committee was established by Board action in October 1991. The Committee met with OMS staff to review the charge and the current situation of the OMS. A schedule for review of OMS business operations was established. The Advisory Committee will review the OMS business plan; determine need for Board action; and report and/or make recommendations to the Board.

Task Force on Minority Recruitment

The Task Force on Minority Recruitment was established by Board action to draft a policy and a strategy statement on encouraging professional staff diversity. Since October, the Task Force has been working on drafting a policy statement, a statement of purpose and goals, an outline of program elements and action items, and a broad cost outline. As background for their work, the Task Force has been using information gathered through a number of surveys as well as a summary of member priorities in the area of minority recruitment, which is based on a survey conducted at the ARL Meeting in Montreal. Based on a Board recommendation, the Task Force has become a working subgroup of the Committee on the Management of Research Library Resources.

OMS CONSULTING SERVICES PROGRAM

The Consulting Services Program includes activities related to the conduct of institutional studies and consultations. It provides programs for libraries to study systematically their internal operations and develop workable plans for improvement.

During this period, a wide range of projects were undertaken:

Strategic Planning and Planning Retreats: Rice University, Cornell, SUNY-Stony Brook, American Association of Law Libraries (AALL), University of New Brunswick, Rochester, NAL

Public Services Review: University of Oregon

Collection Assessment Project: North Carolina State University

Organizational Review and Design: University of Arizona

Teambuilding and Team Management: University of Arizona, MIT, Northwestern, Library of Congress, Pennsylvania State University

Technical Services Planning Programs: Stanford University Business School, Cornell, University of Saskatchewan

Staff Development: Texas A & M University

OMS INFORMATION SERVICES PROGRAM

The OMS Information Services Program gathers, analyzes, and distributes information on contemporary management techniques through the Systems and Procedures Exchange Center (SPEC), conducts surveys and analytical reviews, and answers inquiries on library issues and trends.

Quick-SPEC Surveys Completed. ARL Library members requested Quick-SPEC surveys on the following topics: Total Quality Management Programs in ARL Libraries; Staff Access and Building Security; Impact of the "Virtual Library" on Library Administration and Management; Use of Administrative Stipends; Sick and Extended Leave Policies in ARL Libraries; Development and Fund-Raising Strategies. Tallies of Quick-SPEC survey responses are available free of charge upon request to all libraries responding to the surveys. Other interested ARL members can request copies and documentation for a minimal charge.

SPEC Kits Completed. The following SPEC Kits were published and distributed: *Organization of Access Services in ARL Libraries; Insuring Library Collections and Buildings; Salary Setting for Professionals; Flexible Workplace Policies; Library Services for the Disabled.*

Upcoming SPEC Surveys. Processing Government Documents; Interlibrary Loan Policies and Practices; System Migration; Access to Electronic Files; Cataloging Microreproductions; Internship Programs; Cooperative Collection Development Programs.

Upcoming SPEC Kits. Collection Development Performance Evaluation; Faculty Status Systems for Librarians; Librarians' Governance/Status Systems; Library Development and

Fundraising; Interlibrary Loan Policies and Practices; Online Database Printing Charges; System Migration; Access to Electronic Files; Online Database Printing Policies; Processing Government Documents; Internship Programs; Cooperative Collection Development Programs.

Upcoming OMS Publications. Contracts have been signed for the following publications: The Myers-Briggs Type Indicator and Library Management; Organizational Restructuring; Library Information Desks; Cooperative Collection Development Programs; Total Quality Management in the Non-profit Environment: A Bibliography.

OMS Conferences. OMS will sponsor the 3rd International Conference on Library Fee-based Services, to be held in Tempe, Arizona October 8-10, 1992. The conference theme is "Quality Services: Applying Business Practices to Nonprofit Services Delivery." Speakers and program sessions will explore issues related to quality management of library fee-based service operations in the 1990s. Topics currently scheduled include: effective service delivery models; non-profit marketing; fee-based services and the information economy; technology for information delivery; effective business planning; training for service delivery; and principles of product development.

OMS TRAINING AND STAFF DEVELOPMENT PROGRAM

The Training and Staff Development Program is designed to help academic and research libraries find better ways of developing their human resources. In 1991, more than 700 library staff participated in OMS Training and Staff Development Programs.

During this period, the following training events were conducted:

PUBLIC INSTITUTES AND WORKSHOPS

Basic Management Skills Institutes
October 28-31, University of Miami
November 11-14, University of Texas at El Paso
December 2-5, Ontario Council of University Libraries
December 9-12, New York Public Library

Management Skills Updates Sessions**
Update I: Building Effective Performance, Washington, D.C., November 17-18
Update II: Managing Priorities and Making Decisions, Washington, D.C., November 19-22.

**The Update Sessions are new programs for graduates of the OMS Basic Management Skills Institute.

Advanced Management Skills Institute
October 20-25, Tucson, AZ

SPONSORED INSTITUTES AND WORKSHOPS
Basic Library Management Skills, Harvard University, January 14-17
Training Skills Institute, Ohio State University, May 4-6
Basic Library Management Skills, Washington State University, April 21-24

SPECIAL FOCUS WORKSHOPS
Conspectus, October 9-11, Rome, Italy,
Creativity Workshop, October 28, University of Arizona
Coaching Workshop, October 29, University of Arizona
Managing Change, MIT, March 20
Creativity Workshop, Utah Library Association, April 15
Training Skills Workshop, Preservation Training Trainers Project, April 28-May 1, Berkeley

ARL Directors Workshop. OMS arranged to have a program presented for interested ARL directors following the October ARL meeting. Dr. Lee Bolman from Harvard University's Graduate School of Education outlined strategies for redefining management problems to develop new opportunities for innovative solutions. Attendees encouraged the development of future continuing education seminars.

Video Loan Program. In operation since 1989, the OMS Video Loan Program makes management videos available to libraries inexpensively. Currently, there are 34 different videos in the library and second copies of four titles on such topics as coaching for improved performance, empowerment, supervision, and meeting management. The program has 26 subscribers. The program is operating on a cost-recovery basis, with income being used to purchase new videos or additional copies of popular titles.

Conference Exhibits. The ARL Executive Office, OMS, and the Coalition for Networked Information sponsored and staffed a booth at the 6th National ACRL Conference in Salt Lake City, UT, April 12-14, 1992. The exhibit featured Executive Office, OMS, and CNI publications and information on programs. Approximately 1500 academic librarians and exhibitors attended the meeting.

The theme of this year's ARL/OMS Conference Showcase Booth at the ALA Conference in San Francisco is "Resource Sharing in the Electronic Age." This theme was selected to highlight ARL library resource sharing programs that have expanded with the emergence of new and improved technologies. ARL libraries are in the process of submitting proposals for displays.

Total Quality Management Initiative. Several activities related to measuring the extent to which TQM is being used in ARL libraries and the development of training programs in this area were undertaken during this period. Working with OMS staff, Susan Barnard, ARL/OMS Visiting Program Officer during the Fall 1991, explored Total Quality Management (TQM) and its potential applications in research libraries. In addition to writing two articles for the ARL newsletter on TQM and its current application in research libraries, Ms Barnard conducted a Quick-SPEC survey aimed at identifying the extent to which TQM technologies are being applied in ARL member libraries. Over 40 members of the research library community involved in TQM programs attended a meeting convened by OMS at the ALA Midwinter Meeting in San Antonio. Participants reviewed and discussed a draft model for adopting total quality management in a research library developed by Ms Barnard.

OMS OPERATIONS

OMS Operations encompasses overall coordination and management of the Office of Management Services, program planning, financial planning and strategy, fiscal control and secretarial support and office operations.

Business Plan. The OMS Business plan, authored by OMS Director Susan Jurow, was completed and distributed to the Advisory Committee on the Office of Management Services. The business plan defines the nature of the services OMS provides as well as a context for those services. It outlines the fiscal situation and options for the resolution of the financial problems the organization faces.

Price Changes. OMS started its third year of a 3-year price schedule cycle designed to bring revenue and costs into balance. The long-range pricing structure has also served to provide members with information to facilitate planning for operations that require OMS services.

Staff Changes. **Maureen Sullivan**, who joined the OMS on a contract basis last year to provide training and consulting support, has assumed responsibility for the OMS Training and Staff Development Program. **Susan Barnard**, Kent State University, was OMS Visiting Program Officer at OMS from September-December, working on Total Quality Management (TQM) and its potential applications in research libraries. **Karen Welter**, OMS Training and Staff Development Program Manager since 1991, left OMS in March for another osition. In February, **Ellen Scono** joined the OMS as Customer Sei vice Assistant, replacing **Stacie Steinke**, who left OMS to dedicate more time to her own business.

VI. Federal Relations and Information Policy Development

The Federal Relations and Information Policy Program is designed to: monitor activities resulting from legislative, regulatory, or operating practices and programs of various international and domestic government agencies and other relevant bodies on matters of concern to research libraries; prepare analysis of and response to federal information policies; influence federal action on research libraries-related issues; examine issues of importance to the future development of research libraries; and develop ARL positions on issues that reflect the needs and interests of members. This capability includes the ARL Information Policies Committee.

Summary of Activities:

Networking and Telecommunications Issues. NREN. The NREN bill, PL 102-194 was signed into law on December 9, 1991. Working to achieve passage of this landmark legislation, ARL in collaboration with House, Senate, and agency staff reviewed and commented on multiple draft bills and provided language detailing library and education roles in the emerging network.

ARL continues to review and comment on bills that would permit regional Bell telephone companies (RBOCs) to manufacture equipment and provide information services in addition to participating in numerous forums on these issues. Related activities of interest included participation in a series of workshops exploring access, privacy, encryption and security issues in networking. ARL has joined a **Working Group on Digital Telephony** with others in the public and private sectors to respond to congressional and executive branch proposals that as drafted would provide the FBI greater leeway in monitoring electronic, voice, and data communications. Discussions with the FBI on these proposals are ongoing.

National Libraries. Activities included working with staff of the libraries on a number of issues. LC: Kate Mawdsley, Associate University Librarian for Public Services, University of California-Davis testified on the FY1993 LC budget request on behalf of ARL and ALA and a statement was submitted to the Senate Appropriations Committee. There have been extensive reviews and commentary presented on the LC fee for service legislation, S 1416 with ARL, AALL, and ALA presenting new legislative language to the Library. ARL staff also participated in discussions concerning LC science and technology initiatives. Other activities included coordination with NLM on the Paperwork Reduction and Federal Resources Management Act of 1990, scientific and technical information issues, NREN, and on indirect cost issues.

Preservation and related issues. ARL with the National Humanities Alliance organized, and with NHA and ALA cosponsored, a congressional briefing breakfast on preservation issues. The session was well attended and there was a great deal of useful discussion. In addition, Merrily Taylor, University Librarian, Brown University testified on behalf of ARL , NHA, and CPA in support of the NEH FY1993 budget request before the House Committee on Appropriations. ARL is organizing a meeting with representatives of the three national libraries, NARA, GPO, NTIS, and SIGCAT (a federal CD-ROM interest group) to discuss longevity and preservation issues relating to CD-ROMs.

HEA reauthorization. The House and Senate have passed HEA reauthorization bills that include most of the ARL/ALA recommendations. ARL and ALA have submitted final language for consideration for the upcoming House-Senate conference.

Information policy legislation and related activities: ARL is an active participant in information policy debates. Nancy Cline, Dean of Libraries, Pennsylvania State University testified before the Subcommittee on Government Information, Justice, and Agriculture, House Committee on Government Operations on new innovative dissemination programs that utilize government information.

ARL with others in the public and private sectors has written and made visits to members of Congress and staff in opposition to several measures that would impose user fees and license and/or copyright-like restrictions on government information. ARL has written in opposition to the House and Senate bills (HR 534, HR 2056, S 843) in addition to congressional visits. ARL is working in support of legislation that will provide Landsat data at marginal cost in lieu of current commercial practice.

Negotiations on the Paperwork Reduction and Federal Resources Management Act (PRA) continue. ARL commented on the Improvement of Information Act of 1991 (IIA bill), HR 3459, introduced by Rep. Owens (D-NY). ARL endorsed WINDO, (HR 2772) a bill that seeks to provide a single point of access to government information via the GPO. ARL worked with GPO staff to improve electronic dissemination of government datafiles to depositories and promoted an Internet connection for GPO. Work in support of CNI's working group on Access to Public Information included visits to congressional staff to discuss the WINDO bill as well as GPO staff. Kate Mawdsley, Associate University Librarian for Public Services, University of California, testified on behalf of the FY1993 GPO budget request before the House Sucbommittee on [the] Legislative, Committee on Appropriations for ARL and ALA.

Staff participated in the ongoing review of NTIS including proposed modernization measures and opportunities for disseminating scientific and technical information via the NREN. Passage of the American Technology Preeminence Act provides NTIS with the needed authority to move into the electronic environment.

ARL's proposal to a leading GIS vendor (ESRI) requesting software and training with GIS software for depository libraries was accepted. The **ARL GIS Literacy Project** seeks to educate librarians and users about GIS as well as to develop GIS capabilities in research libraries. Thirty research libraries have been selected by a subcommittee of the Information Policies Committee as participants in phase one. Based on the high level of interest by ARL libraries in the Project, a second phase has been proposed. ESRI has offered to donate the additional resources to the other libraries that requested participation. The design of phase two is under development.

Copyright and Intellectual Property. ARL wrote to members of the House and Senate and met with staff to express concerns with HR 191 and S 1581, bills that would permit federal agencies to **copyright software.** The House bill was modified to reflect many of the ARL's concerns and additional hearings are scheduled for early May. ARL with ALA submitted testimony for the record on S 1035 and HR 2372, bills that seek to clarify congressional intent relating to **fair use of unpublished materials** . Finally, Prue Adler, the ARL representative on the Department of State Advisory Panel on International Copyright of the Advisory Committee on International Intellectual Property, met with others panelists to discuss GATT, WIPO Copyright Program, and related copyright issues.

Indirect Costs. ARL continues to monitor congressional and federal activities relating to indirect cost issues. Following up on an ARL background paper on indirect costs and libraries developed at the request of the American Association of Universities, ARL is working with others in the higher education community on these issues.

Tax Provisions: ARL with ALA filed a statement supporting the permanent extension of two expiring tax provisions relating to charitable contributions of appreciated property and employer-provided educational assistance.

VII. Collection Services

This capability addresses the broad issues facing research libraries in the areas of collection management and preservation. The work of two ARL committees is covered by this capability: Research Collections, and Preservation of Research Library Materials.

ARL's collection development efforts are directed toward the program objective of supporting member libraries' efforts to develop and maintain research collections, both individually and in the aggregate. Strategies to accomplish the objective include: promotion of needed government and foundation support for collections of national importance in the United States and Canada; efforts toward improving the structures and processes needed for effective cooperative collection development programs, including the North American Collections Inventory Project (NCIP); provision of collection management consulting through the Collection Analysis Program; and development and operation of collection management training programs.

ARL's preservation efforts support the strategic program objective of promoting and coordinating member libraries' programs to preserve their collections. Strategies in pursuit of this objective include: advocacy for strengthening and encouraging broad-based participation in national preservation efforts in the U.S. and Canada; support for development of preservation programs within member libraries; support for effective bibliographic control of preservation-related process; encouragement for development of preservation information resources; and monitoring technological developments that may have an impact on preservation goals.

Committee on Preservation of Research Library Materials

The Committee is pursuing a number of initiatives during 1992 to address preservation problems in research libraries. One dominant concern is monitoring developments relating to mass deacidification. In September 1991, ARL and the Northeast Document Conservation Center (NEDCC) jointly sponsored a two-day invitational Roundtable on Mass Deacidification. Directors and/or staff from 17 ARL libraries participated in the meeting that provided an opportunity to assess current efforts and prospects for implementing mass deacidification programs. The Andrew W. Mellon Foundation provided support for the meeting and preparation of the proceedings, published by ARL in April 1992.

Strengthening North American preservation programs is a an ongoing Committee priority. The University of Chicago Library, with the co-sponsorship of ARL, is convening an invitational Preservation Planning Conference late in May 1992. The goal of the conference is to provide a forum for research libraries to significantly advance the planning for a comprehensive national preservation program. The Committee is also working closely with Patricia Battin, President, Commission on Preservation and Access and George Farr, Director, Division of Preservation and Access, National Endowment for the Humanities to address the myriad issues relating to preservation of research materials.

The Committee continued to monitor the preservation statistics program. Publication of the 1990-91 report is planned for May 1992. Efforts are currently underway to explore automating collection and processing of the data in future surveys.

Association for Information and Image Management. Sarah Pritchard represented ARL at the meeting of the AIIM Library Ad Hoc Group, convened as part of the AIIM "Standards Week" in February, on of three such meetings to be held in 1992. The group provides a forum to share information among representatives of organizations involved with microfilming and imaging standards and procedures in library contexts, and to propose new initiatives and collaborative links. Represented at the meeting were NISO, ALCTS, SAA, NARS, NIST, RLG, CPA, NEH, NLM, LC, NAGARA and other key institutions and organizations working in the field.

North American Collections Inventory Project (NCIP)

The North American Collections Inventory Project (NCIP) is operating on a cost recovery basis, providing training services and publications on-demand. ARL and RLG continue to cooperate on the development and revision of Conspectus materials. Future activities include the publication of *NCIP News*, the distribution of a microcomputer-based Conspectus system, and consideration of possible cooperative uses of the Conspectus in the areas of collection development and preservation.

Committee on Research Collections

The Committee has assumed responsibility for the oversight of the North American Collections Inventory Project, encouraging more participation and developing recommendations for the use of the inventory data to improve collection development coordination among member libraries and access to research collections. The area of foreign acquisitions is a high priority. The Committee is providing oversight for the Foreign Acquisitions Project, funded by the Mellon Foundation to study the publishing, acquisition, and usage patterns of research resources from outside North America. A special advisory task force of collection development specialists from ARL libraries was established to work on the project. The committee sponsored a session at the October 1991 ARL Membership Meeting to explore values underlying collection development planning, based on an instrument developed by OMS.

Collection Services Projects coordinated via the Office of Research and Development: (see Section XII for complete status reports)

- Mellon Foreign Publications Project
- National Register of Microform Masters Retrospective Conversion Project
- NEH Preservation Planning Project
- Latin American Studies Project

VIII. Access and Technology

This capability addresses the myriad issues related to the ARL mission of enhancing access to scholarly information resources. The work of five ARL groups is covered by this capability: the Committee on Access to Information Resources; the Work Group on Scientific and Technical Information, the ARL Advisory Committee on the ARL-RLG Interlibrary Loan Cost Study, the Task Force on Future Online Library Information Systems, and the ARL representatives to the Steering Committee of the Coalition for Networked Information. In addition, this capability encompasses the new relationship established among ARL, EDUCOM, and CAUSE - the HEIRAlliance.

Committee on Access to Information Resources

In 1991, the Committee undertook a review of its scope and charge, changing its title from the Committee on Bibliographic Control to the Committee on Access to Information Resources. The review resulted in a white paper, "Evolution of Electronic Resource Sharing," that identified key issues. The paper was widely distributed, discussed at the October 1991 ARL Membership Strategy Forum, and has served to assist the committee to establish the following agenda:

- reconceptualize the values and principles that provide the underpinnings of electronic resource sharing;
- reconceptualize interlibrary loan and document delivery, employing technology to make it less labor intensive and identifying cost models for alternative configurations and delivery mechanisms; and
- coordinate the various issues raised in the white paper with other ARL committees, as there is significant overlap on aspects of many of the issues.

In November 1991, the paper was updated to reflect major points made during the Membership discussion, and it was again sent to directors for comment. It was also sent to members of the LC Network Advisory Committee and to the ALA Heads of Technical Services of Large Research Libraries for discussion during the fall and winter meetings of these two groups.

Also during the fall, recommendations were submitted to the Library of Congress concerning future developments of the NCCP; and a suggestion was made to LC for an ARL-LC co-sponsored focus group or round table discussion on coordinated cataloging.

The committee will also seek opportunities for discussion of emerging national networks, particularly the emerging roles of the data utilities (OCLC,RLG, etc.), the NREN, the Internet regional networks, and library regional or local systems/networks.

Work Group on Scientific and Technical Information

The Work Group, formed in the Fall of 1991, is a follow-up on the recommendations made by the 1991 ARL Task Force on Science and Technology Information (STI) Needs. The Work Group monitors STI developments and functions as advisor to the Board for shaping further ARL activities in this area. At present, such developments include but are not limited to the STI efforts underway at the national libraries of the US and Canada, the Council on Library Resources (Conference on National Engineering Information Service), New York Public Library (Science, Industry, and Business Library), an NAS funded study for a National Library for the Environment, and a U.S. federal inter-agency Global Change Initiative - Data Management Project. The work group will advise on the nature and timing of ARL involvement in STI projects, including development of the AAU-ARL Action Agenda on STI.

Advisory Committee on ARL-RLG Interlibrary Loan Cost Study

The Committee, established in December 1991, advises ARL staff on the conduct of the ARL-RLG Interlibrary Loan Cost Study. This joint project, approved by the ARL Board in October 1991, will collect information on the costs incurred by research libraries for interlibrary lending and borrowing transactions. Over 65 ARL institutions are participating in the CLR supported study. The committee will advise on the analysis of the aggregate data and review the final report. Preliminary results started coming in in April 1992.

Task Force on Future Online Library Information Systems

The Task Force recommendation for a white paper and conference on the future of online library information systems was endorsed by the Board in July 1991. The proposal was submitted to the Pew Charitable Trusts where staff now advise it is outside the scope of Foundation priorities. There will be a meeting of the task force in May to determine future direction.

ARL Representatives to the Steering Committee of the Coalition for Networked Information

As part of the governance structure of the Coalition for Networked Information, each of the three founding organizations (ARL,CAUSE, EDUCOM) has three seats on the CNI Steering Committee. ARL representatives to the committee have been given staggered terms to achieve eventual consistency with other ARL Committee assignments. The members of the committee meet with the ARL Board to review communication and advisory processes between ARL and CNI. Since the Coalition's business plan expires at the end of June 1993, the Steering Committee has begun a zero-based review with a variety of options.

The Higher Education Information Resources Alliance (HEIRAlliance)

In May 1991, the ARL Board reviewed an invitation from CAUSE and EDUCOM to form an alliance with them to identify cooperative ventures dealing with information resources management. The HeirAlliance was approved in concept by all three boards as a "paper" device to allow further project-based cooperation.

The Board approved an initial project of the HEIRAlliance, a newsletter or alternative communication mechanism covering information technology and information resources targeted at chief executives and academic officers in the 3000 academic institutions in the US and Canada. Board support for the project, for up to three years, was coupled with the understanding that there would be an ongoing review and assessment process, and that ARL's financial exposure would be limited to not more than $16,000 per year plus inflationary increases. In response to the comments surrounding the proposals for a newsletter, CAUSL is now trying to prepare a sort of "executive briefing packet" on the integration of information technologies on campus. The strategy will be to form teams at 5 or 6 institutions to hold meetings among library directors, heads of information technology, and presidents, and evolve a useful document.

IX. Office of Scientific and Academic Publishing

The objective of the Office of Scientific and Academic Publishing is to maintain and improve scholars' access to information. OSAP undertakes activities to understand and influence the forces affecting the production, dissemination, and use of scholarly and scientific information. The Office seeks to promote innovative, creative, and alternative ways of sharing scholarly findings, particularly through championing newly evolving electronic techniques for recording and disseminating academic and research scholarship. The Office also maintains a continuing educational outreach to the scholarly community in order to encourage a shared "information conscience" among all participants in the scholarly publishing chain: academics, librarians, and information producers. ARL's mission in this area is to work with its partners to view academic publication not as a "library problem" but as a shared enterprise and an opportunity to "promote the progress of science and the useful arts." This capability also covers the ARL Committee on Scholarly Communication.

Scholarly Communication Committee

This committee was established in 1991 to monitor developments, determine critical issues requiring ARL attention, inform members, and design strategic responses that can serve to influence the future of scholarly communication. At the October 1991 membership meeting, the Committee sponsored a discussion of future strategies and invited speakers to address issues related to trends in university press publishing, and document delivery strategies for scientific and technical information. The Committee is interested in further invitations to scholarly societies to make presentations at ARL meetings.

Summary of current activities of the OSAP:

1. *Collaborating with the scholarly and academic community.* A top priority of OSAP is to communicate with the learned and professional society and university press community, to build partnerships for delivering scholarly information more effectively within the higher education and not-for-profit sectors. Many activities were geared toward this objective in the past six months.

- **AAUP (Association of American University Presses).** We assisted AAUP with setup of an electronic communications list for its members. The AAUP enthusiastically supported the OSAP suggestion to hold an intensive symposium describing current electronic networked publishing projects for the university press community and offered to promote such a program if ARL mounted it, as well as to send interested AAUP members at subsidized prices. The response from university press directors to the symposium was overwhelming. ARL is being giving free exhibitors space at the AAUP annual meeting in June. AAUP is coordinating with the

NASIG/SSP annual conference. We have been invited to be on the review board for electronic publishing projects of MIT Press and Rutgers University Press.

- **ACLS.** A presentation on electronic publishing was made to the November meeting of ACLS executive directors. It has generated subsequent letters of interest.

- **NAS (National Academy of Sciences).** In November, we were invited to meet with COSEPUP, the executive council, and to make a presentation to the Council, given Frank Press' (President) strong expression of concern about current science serial journal prices. The Academy agreed that some collaborative followup is desireable, but no specific agenda has yet been formed. The Academy also invited us to participate in a two-day workshop (January 29-30) on Archiving Scientific Data. This meeting is reported in *ARL* 161, p. 12.

- **NASA.** OSAP continues to receive and to accept invitations to participate in workshops of the STELAR project, a recon to page images of the key astronomy journals. This project is progressing nicely and a summary will be available in a future issue of the ARL newsletter.

- **NASULGC.** In 1991, NASULGC and ARL invited members of the higher education community to discuss critical factors in the "serials crisis." This meeting was held on November 12 and included representatives from the Association of American University Presses, Association of American University Professors, Association of American Universities, National Council of Graduate Studies, and the National Academy of Sciences. The issues were prices and competition; promotion, tenure, and academic rewards; and copyright and ownership of academic information. A paper on the "information crisis" was delivered by the OSAP Director to NASULGC provosts at the same November 1991 meeting.

- **AARS /SBL (American Association of Religious Scholars/Society for Biblical Literature).** Gave an address at annual conference on the ownership of electronic text. The text of that paper was subsequently published in the SBL's *OFFLINE*.

- **ACS (American Chemical Society).** Delivered lead paper in a day-long parallel session on library and information issues at the annual meeting, April 1992.

- **AMS (American Mathematical Society).** ARL presented a (second) session on research libraries at the AMS annual meeting in January 1992. The AMS collaborated with ARL in designing and hosting an "electronic publishing workshop" for publishers, April 26-28, 1992.

- **APS (American Physical Society).** We were invited by the APS to convene a meeting in November 1991 between the research library community and APS publications Board. The APS seeks serious dialogue with ARL libraries in order to attempt to solve substantive problems, such as the perceived diminution (through cancellation) of physics information to a growing corpus of researchers; and the desire to experiment with electronic projects. APS also invited ARL to its April publications meeting.

- **MLA (Modern Language Association).** The MLA expressed interest in mounting a humanities journals project based on data gathered during production of the *MLA Bibliography*. A preliminary meeting was held in the MLA's New York offices in December 1991 to formulate a problem definition team to describe a joint comprehensive humanistic study. The first team meeting was held on April 23rd, 1992. Participants include MLA staff, modern languages faculty, and ARL representatives. The purpose of the study will be to describe the growth of the modern languages scholarly literature, forces affecting such growth, pricing, and nature of the literature. If a project can be defined, funding will be sought to carry it out.

- **SSP (Society for Scholarly Publishing).** NASIG (the North American Serials Interest Group, an organization of about 1,000 mostly library members) and the Society for Scholarly Publishing (SSP) are holding their annual conferences jointly from 18-21 June, 1992. This will be a significant cooperative venture between librarians and scholarly publishers. The conference also overlaps with the AAUP meeting and some attendance from the University Press community is therefore expected.

2. *Campus and scholarly programs and initiatives.*

Presentations by OSAP to administrators, faculty, editors, and/or librarians were made at the following institutions:

-- Rice University, November 1991
-- Rutgers University, November 1991
-- Columbia University, November 1991
-- Massachusetts Institute of Technology, December 1991
-- Pennsylvania State University, January 1992
-- University of Missouri, February 1992
-- University of Illinois, annual Millercom lectures, March 1992; WITS (Women in Information, Technology, and Science) Colloquium
-- Kent State Libraries, March 1992
-- University of Virginia, March 1992
-- University of Chicago, April 1992

3. *Working with the library community in the scholarly publishing arena.*

Presentations, consultation or papers were given at:

-- Iowa Technology Conference, November 1991
-- ACRL Discussion Group on Serials, ALA Midwinter
-- ACLTS Scholarly Communications Committee (new) (consultant to the committee)
-- Southeastern Consortium of Biomedical Libraries, February 1992 (led a two day information and strategies session on academic journal publishing).
-- Aqueduct Serials Retreat, Chapel Hill, February 1992

The OSAP Director is serving as the 1992 President of NASIG (North American Serials Interest Group); and the chair of the Program Committee for the annual conference to be held jointly with the Society for Scholarly Publishing (SSP) in June 1992.

4. *Research, consumer, investigative activities.*

- Copyright and ownership of the academic and research literature, particularly of journals, have surfaced as paramount issues over the past months. Work has been done with the Triangle Research Libraries consortium, the NASULGC, and the SBL on matters of ownership. A number of faculty in several ARL universities have expressed interest in alternative models for copyright assignment, such as retaining certain rights for themselves, their universities, or their libraries, rather than assigning total copyright to academic publishers. Such limitations in assignment would result in an assignment of a license rather than of copyright, a response consistent with the situation in which electronic publications (particularly) are being licensed rather than sold to users, since it is difficult to construct "fair use" arrangements (as defined by the 1976 Copyright Act) within a license/contract.

The NASULGC Library Committee and OSAP agreed at the end of 1991 to do some investigative work to describe the types of copyright agreements currently in existence and their down-stream effects on scholarly use.

The development of scholarly electronic "preprint" services by individual scholars, by learned societies and possibly libraries on some campuses suggests a new model for article distribution which potentially has profound ownership implications. OSAP has been invited to help assemble and to participate in a May 1992 meeting to consider construction of article preprint services on the electronic networks. It is an OSAP objective to develop an electronic ownership briefing package during 1992.

- OSAP worked with University of Florida staff on survey of use of electronic journals in ARL libraries; the survey is due for publication in the summer of 1992.

- OSAP, with the collaboration of staff in several member libraries, completed compilation of a database of the names and affiliations of 6950 major scientific editors from the three largest publishers (Elsevier, Pergamon, and Springer). It was offered to ARL directors in February 1992, on diskette with compressed files in either DOS or MAC format.

5. *Publications and Publishing.*

- *Symposium on Electronic Networked Publishing for Publishers,* April 26-28, 1992. This three-day seminar was conceived in collaboration with the American Mathematical Society and the Association of American University Presses. Its purpose was to bring together many of the "pioneer" publishers on the academic networks, to describe their projects, to share ideas, to encourage publishers to experiment with the new distribution medium, and to offer the support and even the expertise of research libraries in the publishing process. The session was limited to 55 participants and was oversubscribed within three weeks of a limited mailing. Larger accommodations enabled us to increase the capacity to 70 participants (and 14 presenters) and enormous demand has been expressed for either a repeat or a similar session in fall 1992.

- *ARL Directory of Electronic Journals, Newsletters, and Academic Discussion Lists.* OSAP published the second edition at the end of March 1992 with a press run of 3,000 copies. The *Directory* lists about three dozen e-journals, over 100 newsletters, and nearly 800 academic discussion lists, conferences, and bulletin boards. This publication has generated considerable interest in the academic resources which are becoming available on the net. It is successful as a service publication, as a financial undertaking, and as a visibility mechanism for ARL, reaching a number of individuals and organizations who have not previously had contact with the Association. With the assistance of the AMS (American Mathematical Society) the new version was translated into a LaTeX database, which offers a highly attractive array of fonts and design options for finished production. Announcements were sent to all earlier purchasers and to those who ordered the first edition after it went out of print. An editorial project committee is being formed to plan future directions for this service.

Recent Publications by the OSAP Director:

"Networked serials; scholarly publishing, and electronic resource sharing: a dilemma of ownership," *OFFLINE* (an electronic journal, University of Pennsylvania and Society for Biblical Literature), December 1991; also in the *Newsletter of the Society of Biblical Literature.*

Interview with Peggy Johnson in October 1991 issue of *Technicalities,* October 1991, pp. 2-6.

"Publishing through the network: the 1990s debutante," *Scholarly Publishing,* April 1992, pp. 170-177.

With Kendon Stubbs, "Remembrance of Things Past, Present, and Future," forthcoming in *Publishers Weekly,* May 1992.

X. International Relations

This capability covers monitoring activities, maintaining selected contacts, identifying developments on issues of importance to American research libraries, and sharing experience of North American research libraries that may contribute to the development of collections and services in research libraries internationally.

As with scholarly relations, international relations represents a capability that is manifested by activities in several separate program areas rather than through a consolidated office. International library issues will be the focus of a special session at the **May 1992 meeting,** with presentations from IFLA President Robert Wedgeworth, Colin Steele of the Australian National University, and Michael Smethurst of the British Library. International issues will also play a strong role in the programming of the **May 1993 membership meeting** focusing on the Pacific Rim. Prue Adler serves as the ARL representative on the Department of State Advisory Panel on International Copyright of the **Advisory Committee on International Intellectual Property,** addressing GATT, WIPO Copyright Program, and related issues. The ARL **Office of Research and Development** is involved at several levels with international analyses and collaborations, including the just-launched projects on foreign publications and Latin American Studies, and the Japanese Research Resources and International Linkages projects that are in the planning stages (see more in Section XII).

ARL staff provided **briefings and information** to a variety of librarians from other countries. In October 1991, a group of senior librarians from the National Library in Prague visited ARL for a formal briefing, under the auspices of the Mellon Foundation. Several visitors came to Washington in November: the OMS presented a workshop for agricultural librarians from Eastern European countries, a librarian from Australia conferred with OMS, and Sarah Pritchard and Joan Lippincott met with three representatives of the "très grande bibliothèque," the major new French national library. Staff answered written inquiries from Czrchoslovakia, Saudi Arabia and other countries.

The **Alliance of Universities for Democracy** invited ARL to participate in a session on library and information services at their second annual conference in Bratislava, Czechoslovakia, in November 1991. Sarah Pritchard, ARL Associate Executive Director, delivered a paper on the role of multi-institutional and multi-country library associations in promoting library research and collaborative program development. Coordinated by the East

European Center at the University of Tennessee, the AUD has pursued some follow-up projects and will publish the conference proceedings.

The ARL Executive Director is providing leadership in two new areas. Mr. Webster will represent ARL on the Committee on Archival, Library and Information Sciences of the **International Research and Exchanges Board, Inc. (IREX).** This committee includes representatives from a number of national library and scholarly associations, and will make policy and program recommendations for IREX cooperative projects in the countries of Eastern Europe and the former Soviet Union. Other organizations involved include LC, NARA, NAGARA, SAA, ALA, SSRC, ACLS, ICPSR and the American Association for the Advancement of Slavic Studies (AAASS). Mr. Webster has also been appointed to the **National Coordinating Committee on Japanese Library Resources;** the committee's mission is "to mobilize the resources of information providers, information users, and funding organizations toward the long-range goal of creating a comprehensive national system of cooperative collection development and ready access to Japanese information in as wide a range of fields as possible for all current and potential users in North America."

XI. General Administration

General administration encompasses overall coordination and management of the Association, program planning and strategy development, staffing, financial planning and strategy, fiscal control, and secretarial support and office operations.

Final report on 1991. The Association achieved a balance of revenue over expenditures in 1991 with $60,000 contributed to the permanent reserve. Total revenue for all funds combined was $2,911,900. Total expenditures were $2,845,500. After the contribution to the permanent reserve there was $6,400 added to the fund balance, which stood at $269,200 as of December 31, 1991. The executive office had a $67,800 surplus; the OMS had a $61,400 shortfall; and the ORD balanced its revenue and expenditures. This the fourth consecutive year of balanced budgets for the Association. An audit of ARL financial records and practices was successfully completed by Canto, Metro Meyer in February, and their report will be published as part of the minutes of the May 1992 membership meeting.

ARL 1992 Financial strategy. At the February meeting of the ARL Board of Directors a financial strategy for 1992 was implemented that calls for meeting the expected increase in the annual costs of programs and operations by increasing membership dues by the projected level of the increase in inflation in 1991 (i.e. 4%). Some program growth is planned dependent on planned new revenues, for example in the Office of Scientific and Academic Publishing. Key elements of the strategy include no growth in staff costs, an allocation to the permanent reserve, continuation of current allocation patterns among the Association capabilities, and funding the planned relocation of ARL offices out the operating balance. A review of the OMS business plan is underway.

Financial status as of 4/92. The March financial report indicates that all cost centers are within budgeted expenditures in the first quarter of 1992. Revenue patterns vary, with dues revenues almost completely received within the first quarter, grant revenues on target, and sales and cost recovery revenues expected to pick up later in the year.

Personnel resources. Performance reviews and supervisory meetings were conducted for all professional and support staff in the Association during December and January. All raises awarded were based on merit and were within the overall pool established by the Board of Directors last October.

- Sarah E. Mooney joined the staff of the ARL Executive Office in January as the Communications Specialist, succeeding Pamela Bixby who had been at ARL during 1991. Ms. Mooney has a B.S. in journalism from the University of Maryland and was formerly employed as an editor at the National Correctional Association and as a technical writer at ST Systems, Inc. Under the direction of Sarah Pritchard, Ms. Bixby had put in place a reorganized approach to publications and communications management; Ms. Mooney expects to continue to develop within this framework.

- In the Office of Management Services, Susan Barnard completed a three-month residency as a Visiting Program Officer while on sabbatical leave from the Kent State University library. OMS Publications Program Assistant Stacy Steinke and Training Program Manager Karen Welter both left the office; Ellen Scono joined the OMS staff in a redefined support capacity working on training and publications services.

- ARL continues to make use of temporary support and professional staff on a project or consulting basis. Former ARL Program Officer Nicola Daval and Johns Hopkins SAIS librarian Diane Harvey are among those currently working on special assignments in the office. Non-resident Visiting Program Officers for 1992 include Dan Hazen and Assunta Pisani of Harvard, and Gayle Garlock of the University of Toronto. Christine Klein, who began working in the Office of Scientific and Academic Publishing while a graduate student at the Catholic University Library School, is now also working on an hourly basis as a temporary special assistant in the Executive Office. Patricia Brennan is the new Statistics Program Research Assistant, also from the Catholic University Library School.

Space planning. There has been a significant increase in space planning and real estate activity to evaluate property options for ARL. With the addition of the OSAP, CNI and related services, ARL has outgrown its current space (about 4300 square feet leased from the American Political Science Association) and is not able to secure more in the same building. The Association has made use of offsite storage and has combined offices for many staff and services. Over the past eighteen months, staff have consulted with several different real estate brokerage firms and have inspected over 25 different buildings of various kinds. Proximity to the subway, other agencies and educational associations, and to meeting facilities are among the key factors in determining location; the ARL Board explicitly discouraged moving to either the Maryland or Virginia suburbs. ARL staff, real estate and investment advisors analyzed financial strategies including purchase, lease, and special bond financing.

ARL currently has formal agreements for brokerage services from Barrueta & Associates, and for architecture and space planning services from Davis & Carter. The brokers have established a specific timeline to ensure move-in by the time the current lease expires in December 1992. Space planning interviews and functional requirements were completed in January, estimating conservatively that about 8000 to 9000 square feet of space is needed. Both townhouses and office buildings are being investigated, in several downtown neighborhoods; it was projected that specific properties will be analyzed during the spring with a final decision no later than July. "Test fits" were drawn up in April on several properties, and multi-year financial projections prepared for each serious potential location.

Office operations. Most office systems and procedures put in place over the last two years are now functioning smoothly and there was little change in the last few months. Craig Summerhill, CNI/ARL Systems Coordinator, made significant progress in installing and configuring the DEC Ultrix server supporting CNI and ARL operations. The server is currently supporting electronic mail, file-sharing and some remote FTP. New policies or memoranda were drafted on staff consulting activities and internal financial procedures.

XII. Research and Development

The ARL Office of Research and Development consolidates the administration of grants and grant-supported projects administered by ARL. The major goal within this capability is to energize the ARL research agenda through the identification and development of projects in support of the research library community's mission as well as the development of funding support for those projects. The ARL Visiting Program Officer project is a part of this capability.

I. CURRENT AND COMPLETED PROJECTS

NEH Preservation Project.

In June 1991, the National Endowment for the Humanities awarded ARL a new 18-month grant of $59,933 to support the enhancement and revision of the Preservation Planning Program (PPP) resources. With this new NEH funding, ARL will update the Preservation Planning Program Manual and Resources Notebook. The award will also support the development of a series of focused resource guides that will assemble guidelines, procedures, checklists, and technical documentation related to the major components of a preservation program. A key feature of the project is the participation of ten preservation administrators in carrying out major portions of this further enhancement of preservation planning materials for research libraries.

National Register of Microform Masters (NRMM) RECON Project.

ARL in partnership with the Library of Congress is administering the "Creation of Machine-Readable Cataloging for the NRMM Master File." ARL is using the RETROCON services of OCLC to produce the records. The Library of Congress is distributing the resulting tapes through its Cataloging Distribution Service. The goal of the project is the conversion into machine-readable records of approximately 474,000 monographic reports in the NRMM Master File, which represents the records for microform masters held by libraries, archives, publishers, and other producers.

In December 1991, the National Endowment for the Humanities, Division of Preservation and Access awarded ARL $665,222 for the continuation and completion of the project for retrospective conversion of monographic records in the NRMM Master File. Building on the earlier NEH investment, this is the final phase of a complex, multi-year effort. In February 1992, OCLC completed the second phase of the project with the conversion of 258,000 reports. The final phase of the project began in March 1992 and over the next sixteen months OCLC will convert the remaining 160,000 NRMM reports.

Scholarship, Research Libraries, and Foreign Publishing in the 1990's.

Funded with a grant of $204,600 from the Andrew W. Mellon Foundation, this ARL project is directed toward developing a clearer understanding of the forces influencing North American research libraries' ability to build collections of foreign materials. Its long-term goal is the development of cooperative strategies and systems designed to ensure improved future access to international research materials.

Essential components of the initial phase of the project were establishing the project organizational structure. The ARL Committee on Research Collections is serving as Project Advisory Committee. A Project Task Force of twelve senior administrators of collection management programs in ARL libraries has been established.

Two ARL Visiting Program Officers are providing essential assistance. Gayle Garlock, Associate Librarian for Collection Development, University of Toronto will devote about 20% of his time to the project in 1992. His initial assignment is to design and carry out a survey of foreign acquisitions vendors. Assunta Pisani, Associate Librarian of Harvard College for Collection Development, and a member of the Faculty of Arts and Sciences at Harvard University is working on a part-time basis in spring 1992. Her primary responsibility is establishing links with several foreign area library associations and committees and facilitating cooperative projects.

Major efforts during the past several months have focused on working with several foreign area studies library groups. The intent is to develop a series of joint projects that synthesize available information and analyze data on publishing, acquisition trends, and shifts in research and collecting patterns. To date, two organizations have established project task forces: Seminar On the Acquisition of Latin American Library Materials (SALALM) and the Western European Specialists Section of the Association of College and Research Libraries, American Library Association (WESS/ACRL/ALA).

Special attention has been paid to the efforts aimed at developing a national plan for Japanese Studies. A key event was the conference on national planning for Japanese studies libraries in the United States that was held at the Hoover Institution on November 7-9, 1991. During the meeting a National Planning Team was formed to help coordinate the work of several task forces that are investigating specific library issues. In January the National Coordinating Committee on Japanese Library Resources was formed to mobilize the resources of funding organizations in support of creating a comprehensive system of access to Japanese information. ARL is contributing a representative to the Committee, which met for the first time on February 20-21, 1992. ARL is currently preparing a project proposal for designing conceptual models for different futures for Japanese studies collections.

Exploratory conversations have been held with the chairs of the African Studies Association, Archives-Libraries Committee, the Council of Archives and Research Libraries in Jewish Studies and the Committee of East Asian Libraries. A high priority also is to develop a Slavic Studies project. At its March 20 meeting, the American Association for the Advancement of Slavic Studies, Bibliography and Documentation Committee (B&D); and ACLS-SSRC Joint Committee on Soviet Studies and Joint Committee on Eastern Europe, Bibliography,Information Retrieval, and Documentation Subcommittee (BIRD) agreed to work with ARL on an in-depth study of acquisitions from Russia.

Corollary efforts have focused on identifying scholars' priorities for access to foreign materials. A key feature of the project is the participation of the American Academy of Arts and Sciences, Midwest Center. A one-day regional meeting involving teams of scholars and area studies librarians was held in Chicago on April 30. The intent was to identify the major problems of procurement and access in the foreign acquisitions arena and to determine possible collective strategies. Issues of access to foreign information were among three proposals esented by ARL in April 1992 to the Education Committee of the Association of American Universities; a joint action agenda has resulted (see below). Findings from the Mellon study will be synthesized for an ARL/AAU Task Force that will then seek to identify strategies to strengthen collections of foreign publication.

The second project phase, scheduled to begin in June 1992, includes the design and implementation of several pilot test studies to assess adequacy of geographic coverage, the development of formal resource sharing models, and further planning for securing the requisite funding.

Latin American Studies Project.

Dr. Dan C. Hazen, Selector for Latin America, Spain, and Portugal in the Harvard College Library, is serving as ARL Visiting Program Officer for a new Latin American Studies assessment project. Scheduled for completion in late 1992, the Christopher Columbus Quincentenary, the project aims to evaluate the progress in providing machine-readable access to bibliographic records in Latin American studies in North American research libraries and to assess the extent to which past efforts and current RECON and preservation programs have addressed Latin Americanists' needs. ARL plans to publish the report of Dr. Hazen's investigation in fall 1992. The Harvard College Library is supporting Dr. Hazen's project. Additional project budget support is provided by the Research Libraries Group and ARL libraries that have participated in the Latin American Recon Project.

H.W. Wilson Cultural Diversity Project.

In October 1990 and again in October 1991, ARL was awarded grants of $30,000 each from the H.W. Wilson Foundation for phases I and II of the project "Meeting the Challenges of a Culturally Diverse Environment." The project was successful in creating a greater awareness among members of existing cultural diversity programs and trends. In addition, three relevant SPEC Kits and Flyers were published and a review was prepared of relevant initiatives in business and industry, higher education and libraries. The second grant al ... the development of a plan for an electronic discussion list on cultural diversity; and the design of an OMS Cultural Diversity Consultants Training Institute. The project is furthered through the work of Kriza Jennings, OMS Diversity Consultant. Funding for the next phases of the project will be sought in 1992.

Interlibrary Loan Cost Study

In late 1991, plans were developed to undertake a joint project with RLG to survey ARL libraries for information on the costs of interlibrary lending and borrowing activities. An Advisory Committee was established (see also Section VIII) and began consultation on the project in early 1992. The survey was distributed in February, with data collection ongoing through April. Analysis of the aggregate data and a final report are scheduled for the summer. The Council on Library Resources provided $10,000 toward support of the project.

GIS Literacy Project

In December 1991 a proposal was submitted to ESRI Inc., the developer of a geographic information system (GIS) software, ARCView®. The request sought ESRI support for an ARL project to prepare up to 25 depository libraries to serve as GIS sites for the public. ESRI has agreed to provide the software and data necessary for the participating libraries to begin to implement GIS services beginning initially with Census Bureau data. In addition, ESRI will provide a two day training session, and waive the registration fee for participants to attend an ESRI User Conference in June 1992. An Information Policies subcommittee reviewed over 60 letters of interest from ARL libraries; identification of participants was made by April 17. The Association of American Geographers has endorsed the project and contributed $5000 toward project expenses. Requests for funding are before the International Geographic Information

Foundation, as well as the National Center for Geographic Information and Analysis, an NFS funded initiative. It is planned to try to develop support for a second phase to ensure participation of all interested libraries.

II. PROJECTS UNDER DEVELOPMENT

ARL-AAU Action Agenda

ARL and the Association of American Universities have established a joint action agenda to address critical issues facing research libraries. The three agenda items are: availability of foreign publications and area studies resources; intellectual property in an electronic environment; and dissemination of scientific and technical information. It is expected that funding will be sought to support the work of this joint AAU-ARL initiative.

Mass Deacidification Project

Conversations began last fall with the Mellon Foundation about support for a two year project to coordinate selective mass deacidification testing among 6-8 research libraries. In the meantime, ARL was approached about a merger of the ARL project with a CIC project on mass deacidification that envisions incentive grants to libraries to undertake mass deacidification testing. The Mellon Foundation has indicated tentative interest in the ARL project but reports that funding could not be available before 1993. Funding will be sought in 1992 elsewhere to undertake initial project activities designed to strengthen communication within the research community about realistic expectations for the mass deacidification technology.

ARL-CLR Economic Models Seminar

In collaboration with David Penniman, President of CLR, ARL is developing an outline for a meeting to identify alternative economic models that may be applicable for research libraries. The results would subsequently be presented for discussion to the ARL Membership with an eye to identifying one or more models to test in a pilot project.

Japanese Research Resources: Models for Cooperative Programs

In consultation with librarians active in ongoing Japanese Area Studies planning, ARL is developing a project to design and assess future models for collecting, describing, and servicing Japanese research collections. The project would be undertaken in the context of the ARL Foreign Publications Project (see above).

VISITING PROGRAM OFFICERS

Susan Barnard, Kent State University: with OMS on Total Quality Management.

Dan Hazen, Harvard University: with Jutta Reed-Scott on the Latin American Studies Project.

Gayle Garlock, University of Toronto: with Jutta Reed-Scott on the Foreign Publications Project.

Assunta Pisani, Harvard University: with Jutta Reed-Scott on the Foreign Publications Project.

Patrick McGlammery, University of Connecticut: with Prue Adler, on the ARL GIS Literacy Project.

Donna Koepp, University of Kansas: with Prue Adler, on the ARL GIS Literacy Project.

APPENDIX

MODERNIZATION OF SCHOLARLY PUBLISHING

1.1 Economic analyses of networked information distribution, access, and delivery, and of the life-cycle costs of printed information distribution, access, and delivery.

- This priority was the subject of a presentation by Richard Katz, Special Assistant, Informa-tion Systems and Administrative Services, University of California, Office of the President, at the Fall 1991 Task Force Meeting and of an article that he prepared for a special issue of *Serials Review* to appear in early 1992. Copies of this issue of *Serials Review* will be distributed to the representatives of all Task Force members.

- Robin Albert, an intern from the University of Maryland, has begun work on the preparation of an accessible synthesis of this presentation with the one referred to in priority 1.2, which will be ready for distribution as a Coalition "white paper" sometime in the late spring.

- The likely next step will be to draft and issue a *Call for Statements of Interest and Experience*, addressing both this and priority 1.2, to identify individuals, institutions, and organizations able and willing to contribute to the work on this priority within the framework provided by this white paper.

1.2 Understanding how networks can be used as media for access to and distribution of existing scholarly journals, and of alternative models for networked information distribution, access, and delivery.

- This priority was the subject of a presentation by Chet Grycz, Chair of the Scholarship and Technology Study Program, University of California, Division of Library Automation, at the Fall 1991 Task Force Meeting and of a special issue of *Serials Review* that he edited that will appear in early 1992. Copies of this special issue of *Serials Review* will be distributed to the representatives of all Task Force member institutions and organizations.

- This priority will be included in the "white paper" and *Call for Statements of Interest and Experience* described above under 1.1.

1.3 The potential of site licenses and related agreements between creators and users of published works to catalyze the formation of the market for networked information.

- The Rights for Electronic Access to and Delivery of Information (READI) Program was announced at the Fall 1991 Task Force Meeting and was the subject of a *Call for Statements of Interest and Experience* that was issued at that time.

- The services of Robert Ubell Associates have been retained to design and conduct three expert panels, to attend the Spring 1992 Meeting of the Task Force, and to undertake a variety of other efforts leading to a report and recommendations concerning the feasibility of promulgating a common set of terms and conditions for managing relationships and property in the market for networked information. Mr. Ubell led a discussion on this at the Working Group on the Modernization of Scholarly Publishing session at the Spring 1992 Task Force Meeting and reported on progress at the closing plenary session of that Meeting.

1.4 The potential of networked information access from and delivery to institutions and organizations using high-volume, networked printing (imaging) facilities.

- The Coalition is monitoring the startup of the CUPID Project, which was the subject of a synergy session at the Spring 1992 Task Force Meeting.

1.5 An approach to data gathering and analysis that will insure that the most important questions about networked full-text projects (such as TULIP) and their experiences are asked and answered in a manner that allows different approaches to be contrasted and compared so that the lessons that are learned are known to as wide a group of interested institutions, organizations, and parties as possible.

- This priority was first articulated on January 24, 1992. A strategy for addressing it is being formulated in light of discussions at the Spring 1992 Task Force Meeting. The likely next step will be to draft and issue a *Call for Statements of Interest and Experience.*

TRANSFORMATION OF SCHOLARLY COMMUNICATION

2.1 The genuinely innovative potential of the network medium for scholarly communication and publication and the architectural requirements of collaborative, iterative, and derivative works and compound information objects that contain images, video, sound, executable algorithms, and associated datasets in addition to traditional text.

- The Architectures for Innovative Networked Scholarly Communication and Publication Project, supported by a grant from the Digital Equipment Corporation, was launched at an invitational meeting in Los Angeles on September 14, 1991.

- A strategy for addressing this priority is being formulated in light of its discussion at the Spring 1992 Task Force Meeting. The likely next step is to draft and issue a *Call for Statements of Interest and Experience* to identify authors able and willing to contribute to the architectural statement that will be the major deliverable of the first phase of the work on this priority and to identify other individuals, institutions, and organizations to otherwise contribute to the work on this priority.

- This priority will be pursued in depth at the Fall 1992 Meeting of the Task Force for which the theme will be "Innovative Networked Communication and Publication."

2.2 The promises and challenges of networked information for scholarship and pedagogy in the humanities, arts, and social sciences as well as the sciences and professions.

- This priority was the subject of a presentation by Douglas Greenberg, Vice President, American Council of Learned Societies, at the Fall 1991 Task Force Meeting.

- The Coalition arranged for Avra Michelson, Archival Research and Evaluation Staff, National Archives and Records Administration, to make a plenary address at the National Net '92 conference on forecasting the use of the NREN by humanities scholars.

- The Coalition is assisting with the "Technology, Scholarship and the Humanities: The Implications of Electronic Information" conference being planned by the American Council of Learned Societies and the Getty Art History Information Program for Sept. 30 - Oct. 2, 1992.

- The Coalition is assisting with the "Impact of Technology on the Research Process: Archives in the Year 2000" program being planned by the Society of American Archivists as part of its 1992 Annual Meeting schedule in Montreal from September 12 through 17, 1992.

DIRECTORIES AND RESOURCE INFORMATION SERVICES

- This area was pursued in depth at the Spring 1992 Meeting of the Task Force, with the theme "Network Navigation and Navigators."

- The Coalition planned four sessions, involving sixteen speakers, to pursue this topic in depth at the National Net '92 conference.

3.1 The need for open systems, standards and, therefore, interoperable products and services based upon a distributed architecture of servers that draw upon a common or at least comparable set of data elements.

- Work progressed on the design of a vision statement, which will most likely emerge as a by-product of the work on the TopNode for Networked Information, Resources, and Tools Project as described in priority 3.2.

3.2 A (printed and networked) directory of directories and resource information services that provides qualitative (consumer) as well as descriptive information.

- The TopNode for Networked Information Resources, Services, and Tools Project was announced at the Fall 1991 Task Force Meeting and was the subject of a *Call for Statements of Interest and Experience* issued at that time. Indiana University was selected to play the lead role in the TopNode Project with Merit Network, Inc. playing an important supporting role and two meetings have been held to begin drafting the details of the project plan.

- This priority was a major discussion topic at the meeting of the Working Group on Directories and Resource Information Services at the Spring 1992 Meeting of the Coalition Task Force and was reported on in the closing plenary session of that Meeting.

3.3 The Library of Congress effort to enhance the MARC formats to account for the cataloging requirements of networked resources and services.

- A new draft of the Library of Congress' discussion paper, *Providing Access to Online Information Resources* was discussed at the January 27, 1992 meeting of the USMARC Advisory Committee and at a project briefing at the Spring 1992 Task Force Meeting.

3.4 The National Science Foundation *Network Information Service Manager(s) for NSFNET and the NREN* project solicitation.

- The National Science Foundation released a project solicitation in early March 1992 with a due date of March 30, 1992. It was the subject of a presentation during the opening plenary session at the Spring 1992 Task Force Meeting and was discussed in two project briefing sessions at the Spring Meeting.

3.5 The need for a "X.500 Implementors Group" to focus and cross-fertilize the X.500 implementation efforts of the Coalition constituency and to place those efforts in their proper context as defined by the programs of other related agencies, principally the Internet Engineering Task Force (IETF).

- This priority was first articulated on February 26, 1992. The "user service" (including X.500) area of the program of work of the Internet Engineering Task Force (IETF) was the subject of a presentation during the opening plenary session at the Spring 1992 Task Force Meeting and the subject of discussion in two project briefings at the Spring Meeting.

- A strategy for addressing this priority is being formulated in light of its discussion at the Spring 1992 Task Force Meeting. The likely next step will be the announcement of the formation of the X.500 Implementors Group as a joint project with IETF.

ARCHITECTURES AND STANDARDS

4.1 A consistent and complete mechanism for linking bibliographic, abstracting, and indexing files to files of associated source materials.

- The Workshop on ID and Reference Structures for Networked Information was formed on October 24, 1991. The first meeting of this workshop will be convened in the near future, likely as a joint undertaking with IETF and the new Internet Research Task Force (IRTF).

4.2 A single standard for the transmission of bitmapped image files.

- Promoting review and adoption of Internet RFC in this area.

4.3 Protocols for handling networked requests for delivery of source materials.

- Studying appropriate Coalition role and strategy by monitoring efforts already underway by others.

4.4 Mechanisms for inter-organizational authentication, accounting, and billing.

- Studying appropriate Coalition role and strategy by monitoring efforts already underway by others.

4.5 Lessons drawn from the experience of pilot projects that exercise networked printing utilities.

- The Coalition is monitoring the startup of the CUPID Project, which was the subject of a synergy session at the Spring 1992 Task Force Meeting.

4.6 Provide an "interoperability testbed" to specify, implement, and test advanced functions for Z39.50 to accelerate the pace and to ensure the quality of standardization efforts in this area.

- The first meeting of the Z39.50 Interoperability Testbed was held on February 10, 1992, and the second on March 7, 1992.

- This priority was a topic of discussion at the joint meeting of the Working Group on the Trans-formation of Scholarly Communication and the Working Group on Architectures and Standards at the Spring 1992 Task Force Meeting and was the subject of a report during the closing plenary session of that Meeting.

4.7 Provide a family of mail reflectors for current awareness and a bibliographic database for question answering regarding technical reports and related materials being issued by pertinent academic and research departments and activities in Coalition member institutions and organizations.

- This priority is being studied and developed as one of the Coalition's network services.

LEGISLATION, CODES, POLICIES AND PRACTICES

5.1 A (print and networked) clearinghouse for and a register of statements from organizations with positions, principles, codes, statutes, etc. pertaining to networked information.

- The first edition of *Information Policies: A Compilation of Position Statements, Principles, Statutes, and Other Pertinent Statements* was released at the Fall 1991 Task Force Meeting. The document has been loaded, in a variety of formats and configurations, into an anonymous FTP archive facility as one of the Coalition network services. The next step is to devise a strategy for updating and expanding this compilation on an ongoing basis.

5.2 Model principles, policies, and practices pertaining to the social, professional, and legal structures and processes that define networked scholarly publication and communication.

- This priority was the subject of a presentation by Brian Kahin on his Scholarly Communi-cation in the Network Environment Project, supported in part by the Coalition, at the Fall 1991 Task Force Meeting. Mr. Kahin's project was also the subject of a synergy session at the Spring 1992 Task Force Meeting.

- The next steps on Mr. Kahin's project are for the Coalition to organize a series of electronic conferences in support of the research and analysis undertaken by this project, and to organize an invitational meeting to validate and disseminate the results of the first phase.

- Mr. Kahin and the Coalition are discussing ways to complete the first phase of this project by the Spring 1993 Task Force Meeting with a major, mid-project report to be made and discussion held at the Fall 1992 Task Force Meeting.

5.3 Model principles, policies, and practices pertaining to asocial behavior (such as hateful speech and predatory or criminal behavior) in networked environments.

- A strategy for addressing this priority is being formulated in light of its discussion at the Spring 1992 Task Force Meeting.

5.4 Contributions to and influence on the report to the US Congress that the Director of the Office of Science and Technology is required to produce before the end of 1992 on six basic questions of NREN implementation, management, and development.

- This priority was pursued during the panel on "perspectives on and issues concerning network implementation and development strategy in light of the passage of the High Performance Computing Act of 1991 with its NREN pro-visions" at the Spring 1992 Task Force Meeting. A strategy for addressing this priority is being developed in light of that discussion.

5.5 Support of the networking recommendations made by the July 1991 White House Conference on Libraries and Information Services.

- The Coalition Director testified at the Open Forum on Recommendations of the White House Conference on Library and Information Services convened by the U. S. National Commission on Libraries and Information Science on March 10, 1992.

- The Coalition arranged for Peter Young, Executive Director of the U. S. National Commission on Libraries and Information Science, to make a plenary address at the National Net '92 conference on the process and recommendations of the White House Conference on Library and Information Services with special attention to networking activities and needs of libraries not affiliated with academic or re-search institutions of higher education.

TEACHING AND LEARNING

6.1 Exemplary models of educational, rather than research, networking.

- A *Call for Project Descriptions*, a new type of call, was issued at the Spring 1992 Task Force Meeting, and through other network and print means, to identify efforts that illustrate how networked information resources and services can be used in support of teaching and learning. The responses to this *Call* will be used to build a database of and a tracking mechanism for these and related projects and to sponsor participation by representatives from several of these projects in the EDUCOM '92 conference, including a panel session devoted to their objectives, methods, and findings.

6.2 Information packets for specific "new user" communities of school administrators, distance learning professionals, community college officials, public librarians, museum executives, and others.

- A special financial contribution has been received from International Business Machines to help defray the expenses incurred in the preparation and dissemination of this packet. The first draft of these information packets has been completed and was reviewed at the Spring 1992 Task Force Meeting. The packets should be available for distribution before the Fall 1992 Task Force Meeting.

6.3 Relationships with other associations and organized groups with comparable interests and activities.

- Work progressed on identifying such associations and organized groups and on establishing relationships with them.

6.4 Making the National Research and Education Network (NREN) into a Resource for Educators.

- The wording of this priority is drawn from the title of a proposal that John Clement, Director of K-12 Networking for EDUCOM, coordinated and submitted to the National Science Founda-tion in late January. A strategy for addressing this priority is being developed in light of discussion at the meeting of the Working Group on Teaching and Learning at the Spring 1992 Task Force Meeting.

6.5 A series of inter-university seminars via computer network.

- The wording of this priority is drawn from the title of a proposal that Jeremy Shapiro, Director of Academic Computing and Network-ing for the Fielding Institute, formulated and submitted to the Working Group on Teaching and Learning after the Fall 1991 Task Force Meeting.

- A strategy for addressing this priority and proposal is being formulated in light of its discussion at the meeting of the Working Group on Teaching and Learning at the Spring 1992 Task Force Meeting.

MANAGEMENT AND PROFESSIONAL AND USER EDUCATION

- The importance of human resources, and the professional and user services they enable, to the networked information infrastructure and environment was the subject of the dinner address by Pat Molholt, Associate Director of Libraries and a computer science doctoral candidate at Rensselaer Polytechnic Institute, at the Spring 1992 Task Force Meeting.

7.1 Development of a packet of information for use in formulating and addressing institutional and organizational issues arising from the emergence of a national networked information infrastructure and environment.

- The project to prepare this packet was announced at the Fall 1991 Task Force Meeting and was the subject of a *Call for Statements of Interest and Experience* that was issued at that time. The responses to this *Call* have been reviewed and the authors of and an editor for the packet are being recruited.

7.2 Metrics for measuring and comparing institutional excellence in networked information access, management, and delivery.

- A strategy for addressing this priority is being formulated in light of its discussion at the Spring 1992 Task Force Meeting.

7.3 A clearinghouse of training materials.

- A strategy for addressing this priority is being formulated in light of its discussion at the Fall 1991 Task Force Meeting.

7.4 Workshops and other facilitating events and materials relevant to the surfacing, managing, and leveraging of cultural differences between information technologists and librarians.

- A strategy for addressing this priority is being formulated in light of its discussion at the Fall 1991 Task Force Meeting.

7.5 Assisting and influencing regional accrediting associations in their efforts to review the ways in which they assess libraries and computing.

- This priority was the subject of a synergy session at the Spring 1992 Task Force Meeting. A strategy for addressing it is being formulated in light of discussion at the Meeting.

7.6 Cultivate a strategic vision of professional roles in the networked information infrastructure and environment.

- This priority was first articulated in February, 1992. A strategy for addressing it is being formulated in light of discussion at the Spring 1992 Task Force Meeting.

ACCESS TO PUBLIC INFORMATION

- Principles and strategies for exploring and exploiting technological ways and means for improving access to and delivery of public information was the subject of a lunch address by Wayne Kelley, Assistant Public Printer and Superintendent of Documents, at the Spring 1992 Task Force Meeting.

- The Working Group on Access to Public Information was first convened at the Fall 1991 Task Force Meeting and has concentrated its attention since then on priority 8.1. Additional priorities are being formulated in light of their discussions at the Spring 1992 Task Force Meeting.

8.1 The Government Printing Office Wide Information Network Online (GPO WINDO) Act (HR 2772).

- Endorsed the American Library Association (ALA) statement in support of this initiative.

- As the first step in a joint project with ALA a *Call for Statements of Interest and Experience* was issued to identify individuals, institutions, and organizations able and willing to contribute to this project, and initial responses are under review. A press release regarding this effort was issued by ALA.

- On March 4, 1992, Coalition and ALA representatives met, separately, with representatives of the Joint Committee on Printing of the U.S. Congress and the Government Printing Office to discuss the joint Coalition/ALA project and related initiatives, interests, and concerns.

- This priority and project were the major topics of discussion at the meeting of the Working Group on Access to Public Information at the Spring 1992 Task Force Meeting and were reported on during the closing plenary session of that Meeting.

- Representatives of the Coalition and the American Library Association met with attendees at the 1992 Federal Depository Conference on April 9 to discuss the project and to gain the support and insight of the depository library community.

8.2 U.S. Census Data.

- A strategy for addressing this priority is being formulated in light of its discussion at the Spring 1992 Task Force Meeting.

APPENDIX II

ASSOCIATION OF RESEARCH LIBRARIES
AUDITED FINANCIAL STATEMENTS
FOR THE YEARS ENDED DECEMBER 31, 1991 AND 1990

CANTO, METRO, MEYER & COMPANY
BUILDING 3, SUITE 100
5161 RIVER ROAD
BETHESDA, MARYLAND 20816

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INDEPENDENT AUDITOR'S REPORT

To the Board of Directors
Association of Research Libraries
1527 New Hampshire Avenue, N.W.
Washington, DC 20036

We have audited the accompanying balance sheets of Association of Research Libraries as of December 31, 1991 and 1990, and the related statements of income, fund balances and cash flows for the years then ended. These financial statements are the responsibility of the Association's management. Our responsibility is to express an opinion on these financial statements based on our audit.

We conducted our audit in accordance with generally accepted auditing standards. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audit provide a reasonable basis for our opinion.

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Association of Research Libraries as of December 31, 1991 and 1990 and the results of its operations and its cash flows for the years then ended in conformity with generally accepted accounting principles.

Canto Metro Meyer & Co.

CANTO, METRO, MEYER & COMPANY
A Professional Corporation
Certified Public Accountants

April 15, 1992

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ASSOCIATION OF RESEARCH LIBRARIES
BALANCE SHEETS
DECEMBER 31, 1991 AND 1990

ASSETS

	GENERAL OPERATING FUND	OFFICE OF MANAGEMENT STUDIES	YEARS END DECEMBER 31, 1991	YEARS END DECEMBER 31, 1990
Cash	$ 316,055	$ -0-	$ 316,055	$ 458,340
Investments, short-term at cost (note 2)	1,152,958	-0-	1,152,958	781,466
Accounts receivable	19,444	71,853	91,297	
Due to <from> other funds	156,465	<156,465>	-0-	-0-
Prepaid expenses	21,225	-0-	21,225	13,088
Interest receivable	6,400	-0-	6,400	5,398
Inventory	12,940	-0-	12,940	22,310
Furniture & equipment	267,286	101,796	369,082	306,357
Less: accumulated depreciation	<156,656>	<67,359>	<224,015>	<128,504>
Total	$ 1,796,117	$ <50,175>	$ 1,745,942	$ 1,458,455

LIABILITIES AND FUND BALANCES

	GENERAL OPERATING FUND	OFFICE OF MANAGEMENT STUDIES	1991	1990
Unapplied income (note 3)	$ 1,242,728	$ -0-	$ 1,242,728	$ 1,165,091
Accounts payable/accrued expenses	187,665	18,793	206,458	69,535
Total liabilities	$ 1,430,393	$ 18,793	$ 1,449,186	$ 1,234,626
Board designated reserve	96,506	-0-	96,506	30,000
Fund balances	269,218	<68,968>	200,250	193,829
Total	$ 1,796,117	$ <50,175>	$ 1,745,942	$ 1,458,455

See auditor's report.

ASSOCIATION OF RESEARCH LIBRARIES
GENERAL OPERATING FUND
STATEMENTS OF INCOME AND FUND BALANCES
FOR THE PERIODS INDICATED

		CAPABILITIES YEARS ENDED DECEMBER 31,		GRANTS/ SPECIAL PROGRAMS YEARS ENDED DECEMBER 31,	
	BUDGET	1991	1990	1991	1990
Revenue					
Dues	$ 1,140,000	$ 1,190,000	$ 1,004,360	$ -0-	$ -0-
Interest	40,000	38,056	26,446	24,173	22,900
Publication	45,150	77,732	52,455	1,379	-0-
Consulting	3,000	21,356	5,229	951,720	171,302
Miscellaneous	---	---	3,626	-0-	-0-
Cost recovery	15,500	27,899	74,672	11,473	-0-
	1,243,650	1,355,043	1,166,788	988,745	194,202
Expenses (Schedules - pages 10 - 13)	1,203,241	1,227,212	1,130,634	988,745	194,202
Excess revenues	40,409	127,831	36,154	-0-	-0-
Fund balance, beginning of year		201,387	209,530		
Fund balance, end of year		329,218	245,684		
Adjustments:					
Deferred income		-0-	<25,743>		
Capitalization of inventory items		-0-	11,446		
Creation of Board designated reserve		<60,000>	<30,000>		
Total adjustments		<60,000>	<44,297>		
Adjusted fund balance		$ 269,218	$ 201,381		

See auditor's report.

ASSOCIATION OF RESEARCH LIBRARIES
OFFICE OF MANAGEMENT SERVICES
STATEMENTS OF INCOME AND FUND BALANCES
FOR THE PERIODS INDICATED

	BUDGET	CAPABILITIES YEARS ENDED DECEMBER 31, 1991	1990
Revenue			
Training	$ 225,000	$ 225,268	$ 147,324
Publication	178,000	146,519	132,195
Consulting	71,500	33,260	82,038
Cost recovery	27,000	21,555	33,803
ARL support	141,350	141,350	133,350
Workshops	-0-	-0-	38,743
Royalties	150	150	3,000
	643,000	568,102	570,453
Expenses (Schedules - page 14)	643,785	629,512	564,512
Excess revenues or <expenditures>	$ <785>	<61,410>	5,941
Fund balance, beginning of year		<7,558>	<13,499>
Fund balance, end of year		$ <68,968>	$ <7,558>

See auditor's report.

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STATEMENTS OF CASH FLOWS
FOR THE PERIODS INDICATED

	YEAR ENDED 12/31/91	YEAR ENDED 12/31/90
CASH FLOWS FROM OPERATING ACTIVITIES:		
Net income	$ 6,421	$ 27,798
Adjustments to reconcile net income to net cash provided by operating activities:		
Depreciation	36,159	28,814
Changes in assets and liabilities:		
<Increase>/decrease in accounts receivable	<31,945>	17,465
<Increase>/decrease in prepaid expenses	<8,137>	<5,008>
<Increase>/decrease in inventory	9,370	<22,310>
Increase in accounts payable and accrued expenses	136,924	3,070
<Increase> in interest receivable	<1,002>	<5,398>
Increase in unapplied grant income	144,143	708,071
Total adjustments	285,512	724,704
Net cash provided by operating activities	291,933	752,502
CASH FLOWS FROM INVESTING ACTIVITIES:		
Capital expenditures	<62,725>	<102,457>
Net cash used in investing activities	<62,725>	<102,457>
NET INCREASE <DECREASE> IN CASH AND CASH EQUIVALENTS	229,208	650,045
CASH AND CASH EQUIVALENTS AT BEGINNING OF YEAR	1,239,806	589,761
CASH AND CASH EQUIVALENTS AT END OF YEAR	$ 1,469,014	$ 1,239,806

See auditor's report.

ASSOCIATION OF RESEARCH LIBRARIES
NOTES TO THE FINANCIAL STATEMENTS
DECEMBER 31, 1991

1. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Organization

The Association of Research Libraries is a non-profit education organization comprised of the major research libraries in the United States and Canada. The purpose of the Association is to initiate and develop plans for strengthening research library resources and services in support of higher education and research. As part of its activities, the Association also operates the Office of Management Studies.

The Office of Management Studies was established by the Association in 1970. The Office conducts research into organizational problems of research libraries, develops new management techniques, and offers information services and training.

The Coalition For Network Information was established on March 16, 1990. The Coalition's purpose is to promote the creation of and access to information resources in networked environments in order to enrich scholarship and to enhance intellectual productivity.

Basis of accounting

The Association's financial statements are reported on the accrual basis, with the exception of the Office of Management Services' Publication Program, which is reported on the cash basis.

Furniture, equipment and depreciation

Furniture and equipment are recorded at cost. Depreciation of furniture and equipment is provided on the straight-line method over the estimated useful lives of the assets, which is generally five to ten years.

Income taxes

The Association is exempted from income taxes under Internal Revenue Code Section 501(c)(3) and applicable District of Columbia law.

Retirement plan

The Association has a retirement plan that covers substantially all full-time employees. Contributions to the plan are based on a percentage of salary for enrolled staff members. Total amounts paid in by the Association were $132,351 and $94,711 for 1991 and 1990, respectively.

ASSOCIATION OF RESEARCH LIBRARIES
NOTES TO THE FINANCIAL STATEMENTS
DECEMBER 31, 1991

1. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONT'D)

Leases

The Association leases its office space under an operating lease that expires on December 31, 1991. Total rent and storage charges for the operating lease were $102,482 for 1991 and $99,182 for 1990.

2. MARKETABLE SECURITIES

Marketable securities are recorded at cost. Securities owned at December 31, 1991, consisted of the following:

	COST	MARKET
Dean Witter US Government Money Market Trust	$ 83,247	$ 83,247
Dean Witter US Government Securities Trust	352,017	354,100
Dean Witter US Government Money Market Trust	14,080	14,080
Dean Witter US Government Securities Trust	703,615	707,932
	$ 1,152,959	$ 1,159,359

ASSOCIATION OF RESEARCH LIBRARIES
NOTES TO THE FINANCIAL STATEMENTS
DECEMBER 31, 1991

3. UNAPPLIED GRANT INCOME

Income received in advance and unearned as of December 31, 1991, is classified as follows:

NRMM - NEH	$ 639
NRMM - Mellon	73,664
Coalition For Network Information	570,331
NRMM - Performance Bond	102,131
Cultural Diversity Project - H.W. Wilson	273
Deferred 1991 ARL Dues	312,000
Mass Deacid Conference	4,637
Foreign Acquisitions - Mellon	177,366
Latin American Project	3,492
PPP Revision - NEH	<1,805>
	$ 1,242,728

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INDEPENDENT AUDITOR'S REPORT ON ADDITIONAL INFORMATION

To the Board of Directors
Association of Research Libraries

Our report on our audit of the basic financial statements of the Association of Research Libraries for 1991 appears on page one. We conducted our audit in accordance with generally accepted accounting standards for the purpose of forming an opinion on the basic financial statements taken as a whole. The additional information included on pages 9 through 15 is presented for purposes of additional analysis and is not a required part of the basic financial statements. Such information has been subjected to the auditing procedures applied in the audit of the basic financial statements and, in our opinion, is fairly stated in all material aspects in relation to the basic financial statements taken as a whole.

Canto Metro Meyer & Co.

CANTO, METRO, MEYER & COMPANY
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April 15, 1992

ASSOCIATION OF RESEARCH LIBRARIES
GENERAL OPERATING FUND
RECONCILIATION OF EXPENSES BY CAPABILITY AND BY OBJECT EXPENDITURE
FOR THE YEAR ENDED DECEMBER 31, 1991

CAPABILITY

	ADMIN-ISTRATION	STATISTICS	COMMUN-ICATION	MEMBERSHIP MEETINGS	GOVERNANCE	MANAGEMENT SERVICES	FEDERAL RELATIONS & INFO POLICY	COLLECTION SERVICES
Employee costs	$ 187,766	$ 31,854	$ 66,775	$ 40,611	$ 37,327	$ 13,658	$ 76,903	$ 28,484
Professional services	42,882	9,646	-0-	1,762	3,914	-0-	980	1,075
Travel	22,354	3,957	1,266	48,206	37,983	705	8,229	6,057
Communication	17,284	3,575	5,122	3,453	1,317	6	1,430	1,272
Program support	1,281	14,908	21,648	25,822	199	-0-	2,454	4,641
Office operation	111,103	4,518	5,411	2,249	1,560	-0-	3,615	900
Special allocations	<86,603>	-0-	-0-	-0-	-0-	141,350	-0-	-0-
Total	$ 296,067	$ 68,458	$ 100,222	$ 122,103	$ 82,300	$ 155,719	$ 93,611	$ 42,429
Budget	$ 330,144	$ 69,000	$ 97,400	$ 107,500	$ 53,600	$ 152,850	$ 93,800	$ 47,750

See auditor's report.

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ASSOCIATION OF RESEARCH LIBRARIES
GENERAL OPERATING FUND (CONTINUED)
RECONCILIATION OF EXPENSES BY CAPABILITY AND BY OBJECT OF EXPENDITURE
FOR THE YEAR ENDED DECEMBER 31, 1991

	CAPABILITY							
OBJECT OF EXPENDITURE	ACCESS AND TECHNOLOGY	INTERNATIONAL RELATIONS	OFFICE OF SCIENTIFIC AND ACADEMIC	RESEARCH AND DEVELOPMENT	NCIP	PPP CONTRIBUTED COSTS	TOTAL	YEAR ENDED DECEMBER 31, 1990
Employee costs	$ 32,410	$ 7,258	$ 87,512	$ 25,428	$ 10,795	$ 9,609	$ 656,390	$ 554,301
Professional services	3,500	-0-	13,261	-0-	3,575	-0-	80,595	64,710
Travel	3,010	1,808	21,230	3,606	6,481	-0-	164,892	135,202
Communication	998	6	4,692	1,174	985	-0-	41,314	36,792
Program support	-0-	-0-	6,338	-0-	2,698	-0-	79,989	61,531
Office operation	806	4,229	9,228	4,240	340	-0-	148,199	119,401
Special allocations	-0-	-0-	-0-	-0-	-0-	1,086	55,833	133,350
Total expenses	$ 40,724	$ 13,301	$ 142,261	$ 34,448	$ 24,874	$ 10,695	$ 1,227,212	$ 1,105,287
Budget	$ 44,400	$ 17,500	$ 111,800	$ 52,035	$ 22,700	$ 2,762	$ 1,203,241	$ 1,070,170

See auditor's report.

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ASSOCIATION OF RESEARCH LIBRARIES
GENERAL OPERATING FUND (CONTINUED)
RECONCILIATION OF EXPENSES BY GRANT OR SPECIAL PROGRAM AND BY OBJECT OF EXPENDITURES
FOR THE YEAR ENDED DECEMBER 31, 1991

OBJECT OF EXPENDITURES	N R M M	N R M M (MELLON)	FOREIGN ACQUISITION (MELLON)	LATIN AMERICAN PROJECTS	PRESERVATION PLAN PROJECT	PPP REVISION (NEH)
Employee costs	$ -0-	$ 10,716	$ 16,402	$ 255	$ 19,339	$ 6,850
Professional services	613,499	217,997	-0-	-0-	13,508	9,000
Travel	-0-	4,926	6,790	-0-	3,344	-0-
Communications	68	107	444	3	3,234	271
Program support	-0-	-0-	-0-	-0-	901	92
Office operation	-0-	250	512	-0-	2,768	128
Special allocations	-0-	-0-	-0-	-0-	3,812	2,464
Total expenses	$ 613,567	$ 233,996	$ 24,148	$ 258	$ 46,906	$ 18,805

See auditor's report.

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ASSOCIATION OF RESEARCH LIBRARIES
GENERAL OPERATING FUND
RECONCILIATION OF EXPENSES BY GRANT OR SPECIAL PROGRAM AND BY OBJECT OF EXPENDITURE
FOR THE YEAR ENDED DECEMBER 31, 1991

OBJECT OF EXPENDITURE	PRESERVATION MODEL PROJECT	MASS DEACID CONFERENCE	CULTURAL DIVERSITY	TOTAL	YEAR ENDED 12/31/90
Employee costs	$ -0-	$ 4,785	$ 29,820	$ 88,167	$ 72,364
Professional services	1,500	-0-	-0-	855,504	83,310
Travel	139	138	12,316	27,653	25,878
Communications	85	140	687	5,039	3,439
Program support	1,435	-0-	-0-	2,428	790
Office operation	-0-	-0-	21	3,679	1,522
Special allocations	-0-	-0-	-0-	6,276	-0-
Total expenses	$ 3,159	$ 5,063	$ 42,844	$ 988,746	$ 187,303

See auditor's report.

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ASSOCIATION OF RESEARCH LIBRARIES
OFFICE OF MANAGEMENT STUDIES (CONTINUED)
RECONCILIATION OF EXPENSES BY CAPABILITY AND BY OBJECT OF EXPENDITURES
FOR THE YEAR ENDED DECEMBER 31, 1991

OBJECT OF EXPENDITURE	INFORMATION SERVICES	SPEC	TRAINING	OPERATIONS MANAGEMENT	TOTAL	YEAR ENDED 12/31/90
Employee costs	$ 37,159	$ 66,100	$ 127,392	$ 53,317	$ 283,968	$ 257,944
Professional services	-0-	14,532	38,399	1,785	54,716	45,394
Travel	19,710	3,524	75,600	12,748	111,582	77,527
Communications	1,858	15,840	12,565	4,392	34,655	32,692
Program support	230	69,887	6,209	1,678	78,004	80,726
Office operation	1,016	3,626	8,669	53,276	66,587	70,229
Total expenses	$ 59,973	$ 173,509	$ 268,834	$ 127,196	$ 629,512	$ 564,512
Budget	$ 80,090	$ 186,110	$ 237,600	$ 139,985	$ 643,785	$ 557,100

See auditor's report.

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ASSOCIATION OF RESEARCH LIBRARIES
COALITION OF NETWORK INFORMATION
RECONCILIATION OF EXPENSES BY CAPABILITY AND BY OBJECT OF EXPENDITURES
FOR THE YEAR ENDED DECEMBER 31, 1991

OBJECT OF EXPENDITURES	12/31/91 OPERATIONS	12/31/90 OPERATIONS
Employee costs	$ 184,230	$ 75,921
Professional services	39,992	829
Travel	213,056	68,167
Communications	21,908	3,851
Program support	19,990	13,314
Office operation	44,994	13,855
Special allocations	67,768	41,666
Total expenses	$ 591,936	$ 217,603

See auditor's report.

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APPENDIX III

120TH ARL MEMBERSHIP MEETING
May 13-15, 1992
The Mills House Hotel, Charleston, South Carolina

ATTENDANCE LIST

Member Institutions:

University of Alabama	Charles Osburn
University of Alberta	Ernie Ingles
University of Arizona	Carla Stoffle
Arizona State University	Sherrie Schmidt
Boston University	John Laucus
Boston Public Library	Arthur Curley
Brigham Young University	Sterling Albrecht
University of British Columbia	Ruth Patrick
Brown University	Merrily Taylor
University of California - Berkeley	[not represented]
University of California - Davis	Marilyn Sharrow
University of California - Irvine	Shirley Leung (designate)
University of California - Los Angeles	Gloria Werner
University of California - Riverside	John Tanno (designate)
University of California - San Diego	Phyllis Mirsky, acting
University of California - Santa Barbara	Joseph Boissé
Canada Institute for Scientific & Technical Info.	Margot Montgomery
Case Western Reserve University	D. Kaye Gapen
Center for Research Libraries	Donald Simpson
University of Chicago	Martin Runkle
University of Cincinnati	David Kohl
University of Colorado - Boulder	Charlotta Hensley (designate)
Colorado State University	Joan Chambers
Columbia University	Elaine Sloan
University of Connecticut	Norman Stevens
Cornell University	[not represented]
Dartmouth College	Margaret Otto
University of Delaware	Susan Brynteson
Duke University	Jerry Campbell
Emory University	Joan Gotwals
University of Florida	Dale Canelas
Florida State University	Charles Miller
Georgetown University	Susan Martin

University of Georgia	William Potter
Georgia Institute of Technology	Miriam Drake
University of Guelph	John Black
Harvard University	Richard De Gennaro
University of Hawaii	John Haak
University of Houston	Robin Downes
Howard University	
University of Illinois - Chicago	Sharon Hogan
University of Illinois - Urbana	David Bishop
Indiana University	James Neal
University of Iowa	Sheila Creth
Iowa State University	Nancy Eaton
Johns Hopkins University	Scott Bennett
University of Kansas	William Crowe
Kent State University	Don Tolliver
University of Kentucky	Paul Willis
University of Laval	Claude Bonnelly
Library of Congress	Winston Tabb
Linda Hall Library	[not represented]
Louisiana State University	Jennifer Cargill
McGill University	Frances K. Groen, acting
McMaster University	[not represented]
University of Manitoba	[not represented]
University of Maryland	[not represented]
University of Massachusetts	[not represented]
Massachusetts Institute of Technology	Jay Lucker
University of Miami	Frank Rodgers
University of Michigan	Donald Riggs
Michigan State University	Hiram Davis
University of Minnesota	Thomas Shaughnessy
University of Missouri - Columbia	MarthaBowman
National Agricultural Library	[not represented]
National Library of Canada	Marianne Scott
National Library of Medicine	[not represented]
University of Nebraska - Lincoln	Kent Hendrickson
University of New Mexico	Robert Migneault
New York University	Carlton Rochell
New York Public Library	Paul Fasana
New York State Library	[not represented]
Newberry Library	[not represented]
University of North Carolina - Chapel Hill	James Govan
North Carolina State University	Susan Nutter
Northwestern University	[David Bishop]
University of Notre Dame	Maureen Gleason, acting
Ohio State University	[not represented]
University of Oklahoma	Sul Lee

Oklahoma State University	Edward Johnson
University of Oregon	George Shipman
University of Pennsylvania	Paul Mosher
Pennsylvania State University	Nancy Cline
University of Pittsburgh	Paul Kobulnicky, acting
Princeton University	Donald Koepp
Purdue University	Emily Mobley
Queen's University	Paul Wiens
Rice University	Beth Shapiro
University of Rochester	James Wyatt
Rutgers, the State University	Joanne Euster
University of Saskatchewan	Frank Winter, acting
Smithsonian Institution	Barbara Smith
University of South Carolina	Arthur Young
University of Southern California	Peter Lyman
Southern Illinois University - Carbondale	Carolyn Snyder
Stanford University	Robert Street
State University of New York - Albany	Meredith Butler
State University of New York - Buffalo	Barbara von Wahlde
State University of New York - Stony Brook	[not represented]
Syracuse University	David Stam
Temple University	James Myers
University of Tennessee	Paula Kaufman
University of Texas - Austin	[not represented]
Texas A&M University	Irene Hoadley
University of Toronto	Alan Horne (designate)
Tulane University	Philip Leinbach
University of Utah	Roger Hanson
Vanderbilt University	Malcolm Getz
University of Virginia	Ray Frantz
Virginia Polytechnic Institute and State University	Paul Gherman
University of Washington	Betty Bengtson
Washington State University	Nancy Baker
Washington University	Shirley Baker
University of Waterloo	Murray Shepherd
Wayne State University	Peter Spyers-Duran
University of Western Ontario	Catherine Quinlan
University of Wisconsin - Madison	Kenneth Frazier, acting
Yale University	Millicent Abell
York University	Ellen Hoffman

Guests:

Battin, Patricia	Commission on Preservation and Access
Beaubien, Anne	University of Michigan/President, ACRL
Blixrud, Julia	Council on Library Resources

Cambre, Jr., C.J.	University of South Carolina
Claassen, Lynda Corey	University of California - San Diego
Cohen, David	College of Charleston
Crismond, Linda	American Library Association
Cummings, Anthony	Andrew Mellon Foundation
Dewey, Barbara	University of Iowa
Dobb, Ted	Simon Fraser University/President, CARL
Elder, Stephen	University of Redlands
Farr, George	Natl. Endowment for the Humanities
Fretwell, Gordon	University of Massachusetts
Fry, Ray	U.S. Dept. of Educ., Library Programs
Gundersheimer, Werner	Folger Shakespeare Lib./President, IRLA
Hall, Margarete	Gallaudet University
Hood, Joan	University of Illinois - Urbana
Kirchheimer, Gloria	Social Science Research Council
Merrill-Oldham, Jan	University of Connecticut
Michalko, James	Research Libraries Group
Olien, David	University of Illinois
Quinn, Judy	*Library Journal*
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Sittig, William	Library of Congress
Smethurst, J.M.	British Library
Steele, Colin	Australian National University
Steele, Victoria	University of Southern California
Stubbs, Kendon	University of Virginia
Toombs, Kenneth	University of South Carolina
Thomas, Sarah	Library of Congress
Vaughn, John	Association of American Universities

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Adler, Prudence	Assistant Executive Director-Federal Relations and Info. Policy
Barrett, Jaia	Director, Office of Research and Development
Dikeos, Gary	Office Manager
Jennings, Kriza	OMS Diversity Consultant
Jurow, Susan	Director, Office of Management Services
Lippincott, Joan	Assistant Director, Coalition for Networked Information
Mooney, Sarah	Communications Specialist
Pritchard, Sarah	Associate Executive Director
Reed-Scott, Jutta	Senior Program Officer for Access and Collections Services
Sullivan, Maureen	OMS Organizational Development Consultant
Summerhill, Craig	CNI/ARL Systems Coordinator
Webster, Duane	Executive Director
Welch, C. Brigid	OMS Senior Program Officer for Information Services and OMS Operations

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Sloan, Elaine	Columbia University
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Steele, Victoria	University of Southern California
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Winter, Frank	University of Saskatchewan
Wyatt, James	University of Rochester
Young, Arthur	University of South Carolina
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[not represented]	Linda Hall Library
[not represented]	University of California - Berkeley
[not represented]	University of Manitoba
[not represented]	University of Oregon
[not represented]	University of Texas - Austin
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not represented	National Library of Medicine
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not represented	University of Maryland
not represented	University of Massachusetts

APPENDIX IV

THE ASSOCIATION OF RESEARCH LIBRARIES - OFFICERS AND MEMBERS OF THE BOARD OF DIRECTORS, COMMITTEES AND WORK GROUPS

MAY 1992

ARL OFFICERS AND BOARD FOR OCT. 1991-OCT. 92

Arthur Curley,	President	(Oct. 1989 - Oct. 1993)
Susan K. Nutter,	Vice President & President-Elect	(Oct. 1989 - Oct. 1994)
Marilyn J. Sharrow,	Past President	(Oct. 1988 - Oct. 1992)
Harold W. Billings		(Oct. 1989 - Oct. 1992)
John Black		(Oct. 1991 - Oct. 1994)
Jerry D. Campbell		(Oct. 1990 - Oct. 1993)
Joan Chambers		(Oct. 1990 - Oct. 1993)
Nancy Cline		(Oct. 1991- Oct. 1994)
Sul H. Lee		(Oct. 1991 - Oct. 1994)
Emily R. Mobley		(Oct. 1990 - Oct. 1993)

GOVERNANCE COMMITTEES

Executive Committee (1991-92)

Marilyn J. Sharrow
Arthur Curley
Susan K. Nutter

Staff: Duane Webster

Committee on Membership (ad hoc - 1992)

Shirley K. Baker
Philip Leinbach
Charles Miller
Margaret Otto, Chair

Staff: Sarah Pritchard

Committee on Nominations (1992)

To be named in June
Susan K. Nutter, ARL Vice President, Chair (1992)

Steering Committee for Coalition for Networked Information (ARL Representatives)

Susan Brynteson (1990-92)
Nancy Cline (1991-94)
Jerome Yavarkovsky (1990-93)

STANDING COMMITTEES

Standing committees oversee issues related to the ARL Strategic Program Objectives. Members are appointed by the ARL Executive Committee for three-year terms (calendar year). Appointments are renewed only in exceptional cases. Chairs are appointed for two-year terms, renewable once.

Information Policies Committee

Joseph A. Boissé (1990-92)
John Black (1992-94)
Nancy Cline (1991-93)
Hiram Davis (1992-94)
Paula T. Kaufman (1990-92)
David Kohl (1992-94)
Louis E. Martin (1990-92)
James Neal (1992-94)
Carlton C. Rochell (1991-93)
Alain Seznec (1990-92)
James F. Wyatt (1990-92)
Merrily Taylor (1989-91), Chair (1991-92)

Staff: Prue Adler

Access to Information Resources Committee

Shirley K. Baker (1990-92)
Susan Brynteson (1992-94)
Paul Fasana (1991-93)
Malcolm Getz (1992-94)
William G. Potter (1991-93)
Martin Runkle (1992-94)
Marianne Scott (1992-94)
Gloria Werner (1991-93)
Nancy L. Eaton (1990-92), Chair (1991-92)

Winston Tabb, Library of Congress Liaison

Staff: Jaia Barrett

Research Collections Committee

Harold W. Billings (1990-92)
Dale B. Canelas (1991-93)
H. Joanne Harrar (1991-93)
Philip E. Leinbach (1991-93)
Ruth Patrick (1992-94)
Ann Randall (1992-94)
Donald Simpson (1992-94)
Peter Spyers-Duran (1992-94)
Barbara J. Smith (1990-92)
Charles B. Osburn (1989-91), Chair (1991-92)

William Sittig, Library of Congress Liaison

Staff: Jutta Reed-Scott

Preservation of Research Library Materials Committee

Scott Bennett (1990-92)
Martha Bowman (1992-94)
Dorothy Gregor (1992-94)
Donald W. Koepp (1991-93)
Carole Moore (1991-93)
Paul Mosher (1992-94)
Robert Street (1992-94)
William J. Studer, Chair (1991-92)

Kenneth Harris, Library of Congress Liaison
Jan Merrill-Oldham, (Consultant - 1992)

Staff: Jutta Reed-Scott

Management of Research Library Resources Committee

Meredith Butler (1990-92)
Nancy Baker (1992-94)
Claude Bonnelly (1992-94)
Arthur Curley (1989-92)
Kent Hendrickson (1991-92) (ex officio as chair of Statistics Advisory Ctte.)
Edward R. Johnson (1990-92)
Robert Migneault (1992-94)
Robert C. Miller (1991-93)
Catherine Quinlan (1992-94)
Donald E. Riggs (1990-92)
Elaine F. Sloan (1991-93)
Joanne R. Euster (1989-91), Chair (1991-92)

Staff: Susan Jurow
Brigid Welch

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Lois Ann Colaianni (1992-94)
Sheila D. Creth (1991-93)
Charles Cullen (1991-93)
Sharon A. Hogan (1991-92)
Eric Ormsby (1991-92)
Beth Shapiro (1991-92)
James F. Williams (1992-94)
Barbara von Wahlde (1992-94)
Arthur P. Young (1991-93)
Paul Gherman, Chair (1991-92)

Staff: Ann Okerson

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These "action groups" work on specific projects and programs of the Association. They are permanent or temporary as appropriate.

Advisory Committee on the ARL Statistics Program

William J. Crowe (1991-93)
Roger K. Hanson (1990-92)
Graham R. Hill (1992-94)
Irene B. Hoadley (1990-92)
Ernie Ingles (1991-93)
Peter Lyman (1992-94)
Susan K. Martin (1992-94)
Margaret A. Otto (1990-92)
Kent Hendrickson (1989-91), Chair (1991-92)

Gordon Fretwell, University of Mass. (Consultant - 1992)
Kendon L. Stubbs, Univ. of Virginia (Consultant - 1992)

Staff: Sarah Pritchard

Advisory Committee on the Office of Management Services

Sul H. Lee (1991-93)
Don Tolliver (1992-94)
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Staff: Susan Jurow

Project on Cultural Diversity in Research Libraries (H.W.Wilson)

Hiram L. Davis
Joanne R. Euster (ex officio as chair of Management Committee)
Emily R. Mobley
Eric Ormsby
Norman D. Stevens

Staff: Kriza Jennings and Susan Jurow

ARL/RLG Interlibrary Loan Cost Study Project

Dale Canelas
William Crowe
Malcolm Getz
Joan Chambers, Chair

David Ferriero, (MIT Consultant)

Staff: Jutta Reed-Scott
Jaia Barrett

Task Force on Future Online Library Information Systems

Charles E. Miller
Paul H. Mosher
Merrily Taylor
Paula T. Kaufman, Chair

Staff: Jaia Barrett

Task Force on Minority Recruitment

Shirley K. Baker
Meredith Butler
Hiram Davis
Carla Stoffle
James F. Williams
Joseph A. Boissé, Chair

Staff: Susan Jurow and Kriza Jennings

Work Group on Scientific and Technical Information (1992)

Betty G. Bengtson
Susan K. Nutter
Marilyn J. Sharrow
Louis E. Martin

Staff: Jaia Barrett

Program Committee for May 1993

Jennifer Cargill
Sheila Creth
George W. Shipman
Carolyn Snyder
John R. Haak, Chair

Staff: Duane Webster
Sarah Pritchard

ARL Sixtieth Anniversary Committee

Carolyn Presser
David Stam
James Wyatt
Elaine Sloan, Chair

Staff: Duane Webster

Task Force on Foreign Acquisitions Project
[Advisory Group of AUL's reporting to the ARL Research Collections Committee]

Ross Atkinson (Cornell)
Tony Angiletta (Stanford)
Ray Boylan (CRL)
David Farrell (Calif.-Berkeley)
Anthony Ferguson (Columbia)
Gayle Garlock (Toronto)
Linda Gould (Washington)
Joe Hewitt (UNC-Chapel Hill)
Michael Keller (Yale)
Heike Kordish (NYPL)
Assunta Pisani (Harvard)
William Sittig (LC)

REPRESENTATIVES/LIAISONS

American Council of Learned Societies .... Duane Webster
Association of American Publishers .... Ann Okerson
Association of American Universities .... Duane Webster/Prue Adler
Association of American University Presses .... D. Webster/Ann Okerson
Association for Information and Image Management, National Standards Council .... Jutta Reed-Scott/S. Pritchard
CAUSE (College and University Systems Exchange) .... D. Webster
Commission on Preservation and Access Advisory Committee .... William J. Studer, Ohio State
Consortium of Social Science Associations (COSSA) .... Prue Adler
EDUCOM .... D. Webster
Eighteenth-Century Short Title Catalogue .... Ray Frantz, Virginia
IFLA Voting Representative .... D. Webster
International Copyright Panel of the Advisory Committee on International Intellectual Property. .... Prue Adler
LC Network Advisory Committee .... Paul Peters/D. Webster
LC Cataloging in Publication Advisory Committee .... Collin B. Hobert, Iowa State
National Humanities Alliance .... D. Webster/Prue Adler
National Information Standards Organization Voting Representative .. D. Webster/Jaia Barrett
National Institute of Conservators .... David Stam, Syracuse
Society of American Archivists .... Herbert Finch, Cornell
Society for Scholarly Publishing .... Ann Okerson

May, 1992

APPENDIX V

MEMBERSHIP OF THE ASSOCIATION
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