

SPEC Kit 324

Collecting Global Resources

September 2011

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SPEC_ Kit 324

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SURVEY RESULTS

Executive Summary	11				
Survey Questions and Responses	19				
Responding Institutions					
REPRESENTATIVE DOCUMENTS					
Collection Descriptions					
University of British Columbia					
Who we are	86				
University of California, San Diego					
Collection Profiles					
Baja California Collection	88				
Columbia University					
Area Studies					
Middle East & Islamic Studies					
C.V. Starr East Asian Library					
About the Chinese Studies Collection	92				
University of Florida					
Special and Area Studies Collections					
LAC>>Introduction	94				
George Washington University	0.5				
Global Resources Center	95				
University of Hawaii The Asia Collection	06				
Indiana University Bloomington	90				
Area Studies Department	97				
Slavic and East European Collection Description					
University of Iowa	90				
Chinese Collection	100				

University of Kansas	
International Area Studies Collection	.101
Northwestern University	
Africana Collection	.102
Melville J. Herskovits Library of African Studies	.103
Ohio University	
Hwa-Wei Lee Center for International Collections	.104
University of Texas at Austin	
The Nettie Lee Benson Latin American Collection	.105
About the Benson Latin American Collection	.106
Collection Development Policies	
University of Alberta	
University of Alberta Libraries Collection Development Policy	.108
Boston University	
Collection Development Policies. African Studies	. 110
University of Florida	
About the Price Library of Judaica	. 114
Primary Collection Responsibilities	. 115
Secondary Areas of Collecting Responsibilities	. 116
University of Hawaii at Manoa	
2008 UHM Library Collection Policy Statements	. 117
Collection Development Policy. Hawaiian Collection	. 119
University of Kansas	
African Studies	. 126
Research Guides	
Duke University	
Slavic, Eurasian, and East European Studies	. 128
University of Florida	
Romani Studies	. 129
George Washington University	
Japan: Earthquake, Tsunami and Nuclear Crisis Information	.130
Indiana University Bloomington	
Researching Brazil	. 131
University of Kansas	
Electronic Resources for African Studies	. 132
University of Massachusetts, Amherst	
Modern European Studies	. 137
University of New Mexico	
Latin American and Iberian Studies	.139
Temple University	
Islamic Studies	.140

University of Washington	
International Studies	142
Washington University in Saint Louis	
Research Guides Subjects: Jewish & Near Eastern Studies (JINES)	144
Yale University	
East Asia Library Guides: Korea	146
Digital Collections	
Duke University	
Americans in the Land of Lenin	150
Then and Now	151
University of Florida	
Digital Collections	152
European History Resources	154
Indiana University	
The Digital Somali Library	155
Ohio University	
Digital Initiatives	156
University of Texas at Austin	
About the HRDI	157
University of Washington	
Ancient Near East Photographs	
Korean Literature 1945–1950	
Thai Journal Index	161
Yale University	
Arabic and Middle Eastern Electronic Library	162
Organization Charts	
University of California, Los Angeles	
UCLA Library April 2011	164
Duke University	465
Duke University Libraries	165
University of Florida	466
George A. Smathers Libraries	166
University of Hawaii at Manoa	167
Library Services Chart II	
Asia Collection – Org Code: MAAILB	168
Indiana University Bloomington IUB Libraries Academic Services	100
	169
Michigan State University Libraries Organization January 2011	170
Michigan State University Libraries Organization January 2011 University of Texas at Austin	170
Benson Latin American Collection	171
Deligon Fathi Milencali Collectioli	171

University of Washington
University of Washington Libraries Organizational Structure
University of Waterloo
Information Services and Resources, Porter173
Yale University
Library organization chart174
SELECTED RESOURCES
Books and Articles177
Web Resources178



SURVEY RESULTS

EXECUTIVE SUMMARY

Introduction

The purpose of this survey was to identify trends, practices, and challenges in collecting global resources in North American research libraries at a time of political and economic change, on the one hand, and of significant change in scholarly communication and collection management strategies, on the other.

For this survey, *global resources* was defined as print and electronic library materials that are published outside the United States and Canada in any language on any topic. This may include, but is not limited to, traditional area studies materials, and it is *not* limited to resources typically associated with the field of Global Studies. A *global resources librarian* was defined as a librarian working with global resources as described in this survey.

We consider the term "collecting" widely to include issues such as collection management/development, access, digitization, preservation, and public service.¹

Accordingly, to obtain information on these issues, the survey was organized into several broad sections: Global Resources Collections (including an overview of expenditures, collecting trends, sources of funding, and acquisition strategies), Staff and Organizational Structure, Preservation Strategies, and Discovery, Public Service, and Outreach. The following summary outlines the survey results for each of the sections. Survey respondents provided a wealth of fascinating data, which is reflected in the actual survey responses and extensive comments sections. We encourage interested readers to peruse the responses in more detail.

The survey was conducted between March 7 and April 8, 2011. Seventy-two respondents at 67 of the 126

ARL member libraries completed the survey for a response rate of 53%. Forty-five replies came from public university libraries, 21 from private university libraries, and one from a government institution. These institutions are geographically distributed across the United States and Canada. Not all responding institutions answered all questions, accounting for the discrepancies in the number of responses throughout the survey.

Global Resources Collections

Sixty-four respondents reported that their library holds significant research collections in at least one global collecting area. These collections include books, serials, maps, microforms, audio/visuals, and digitized materials. More than half of these respondents hold collections relating to Western Europe, Latin America, East Asia, and Slavic and Eastern Europe. More than a third hold significant collections on African, Jewish, South Asian, Islamic, and Middle Eastern studies.

Print monographs predominate in these historical collections, followed closely by print and electronic serials and microforms. Thirty-six respondents (56%) reported that they have e-books in at least one of their global collections. E-books for East Asian, Western European, and Latin American studies were reported most frequently. E-books for Tibetan, African, South Asian, Middle East, and Central Eurasian studies are still developing. More than half of the respondents (34) reported that they hold or provide access to digitized collections, although both availability and distribution vary considerably by world area.

Sixty-eight respondents reported that their library actively collects now in at least one global area.

Similarly to historic collections, the top four areas of collecting are Latin America, Western Europe, East Asia, and Slavic and East Europe. More than half are actively collecting African, Islamic, South Asian, Jewish, and Middle East materials. Print monographs and serials again predominate, although as many as 66% of the respondents (45) also purchase e-books, most frequently in West European and East Asian studies.

Sources of Funding

While ARL members report a strong institutional commitment to support global collections, the survey results show they frequently depend on non-allocated sources of funding for these resources. All 68 respondents identified the materials budget as the main source of funding for current collecting, followed by gifts (50 responses or 74%), endowments (43 or 63%), and grants (40 or 59%). Other sources of funding include academic department support for special acquisitions, gifts by foreign institutions, memberships, end-of-year funds, and government depository programs. East Asian, Latin American, Jewish, Western European, and Slavic and East European studies benefit the most from endowments. East Asian studies also ranks first as the recipient of gifts and grant support. Administrative considerations on whether to maintain gift programs call for a careful assessment of the costs and benefits of managing such programs.

Expenditures

Almost an equal number of the 69 respondents reported that expenditures for global resources materials are about the same as or more than they were five years ago (48 and 47 responses, respectively). Thirty-one libraries reported that expenditures now are less than before. Islamic, Middle Eastern, Latin American, and East Asian studies stand out among the areas with increases. West European, Slavic and East European, and Latin American studies are at the top of both the "about the same" and "less" lists.

Fifty-three respondents (77%) expect global resources expenditures in the next five years to be about the same as today. Thirty-eight (55%) expect expenditures to be more. Twenty-five (36%) expect expenditures to be less. Across all areas, more respondents

anticipate a decrease in expenditures for library materials in West European, Slavic and Eastern European, and South and East Asian studies, although, once again, a higher percent of respondents thought that future expenditures in these same areas would be about the same as or more than they are today.

Collecting Trends

The survey also asked about the numbers of global resource items acquired today compared to five years ago. Again, almost an equal number of the 67 respondents reported that acquisition levels are about the same as or more than they were before (47 and 44 responses, respectively). Thirty-eight (57%) reported that they currently acquire fewer items than five years ago. Not surprisingly, the changes in the numbers of items acquired mirrors the expenditure changes. One likely explanation for the dwindling or stagnant acquisition numbers may be that libraries with flat budgets have not been able to keep up with price increases and inflation.

The survey next asked for an estimated percentage of electronic materials in the libraries' global collections. The percentages ranged from zero to 63, with a mean of 14.12 and median of 9. Half of the respondents (26 of 52) reported that electronic materials are less than 9% of their global collections. Ten respondents (19%) reported that more than 25% are electronic.

Responses about the percentage of expenditures on electronic global materials followed a similar pattern. The percentages ranged from zero to 45, with a mean of 14.89 and median of 11. While 39% of the respondents (21 of 54) reported that electronic materials accounted for less than 9% of the expenditures, nearly a quarter (13) reported they accounted for more than 25%.

Some respondents pointed out that global electronic resources are centrally funded or that they form part of large packages, making it very difficult to identify content specifically related to global materials. Possibly for that same reason, a number of respondents provided estimates for electronic resources in general, not just for e-resources directly related to global collections as defined in this survey.

Following the trend of increased electronic resources in libraries generally, the majority of respondents

(47 or 81%) expect the pool of electronic global resources to increase in the next five years. Similarly, most respondents (45 or 79%) expect library expenditures for electronic materials to increase as well. In some cases, these trends reflect institutional commitments to statewide programs such as OhioLINK. Despite the interest in increasing the collections' electronic resources, respondents' support for acquiring electronic materials has been challenged by the current budget climate. As one respondent aptly stated, "We are not spending proportionally less on global resources, nor has our commitment to acquiring this type of material weakened, but budget limitations have had an impact on all collecting areas."

Acquisitions Strategies

When asked which methods they use to evaluate global resources for purchase, all but two of the 67 respondents reported that they rely on user purchase suggestions. Peer librarians' recommendations and analysis of collection use data tie for second place (48 responses each). Analyzing the cost of global resources materials vs. their use is a close third (42 responses). Establishing close working relationships with faculty and students stands out as a key strategy. As one respondent eloquently remarked, "Because we are so engaged in instruction, being in the classroom puts us in direct contact with students and faculty. It is easy to spot research trends or changes within the curriculum."

Respondents employ a wide range of strategies for acquiring global resources. The specific strategies are determined to a large extent by the book trade in the respective world area. More than three-fourths of respondents acquire materials through direct contact with vendors (i.e., title-by-title selection), approval plans, and gifts in kind. Direct contact with vendors and approval plans also stand out as the most often used strategies (79%). Gift and exchange agreements, as well as acquisitions trips, continue to be significant components of acquisitions programs for global resources. Many respondents also participate in domestic and international cooperative initiatives. In some areas, the Library of Congress Cooperative Acquisitions² programs play a key role for foreign acquisitions. Respondents also identified

consortial purchases through initiatives led by both the Committee on Institutional Cooperation (CIC)³ and the Center for Research Libraries (CRL) as important strategies for their collecting programs. About half of the respondents reported that they use patrondriven acquisition models. But as one respondent noted, "...materials published beyond the US and Canada are still a small percentage" of patron requests.

Respondents prefer vendors who can provide services such as approval plans, MARC records, and shelf-ready materials. However, comments about "other vendor services" particularly point to the specific needs of global resources collections, for example the need to work with knowledgeable vendors who know subject areas well and are able to evaluate the quality of resources. As one commented, "Quality of selection and offerings are the overriding criteria." Since title-by-title selection is a large component for most world areas, preventing duplication and identifying gaps in the collection to maintain collection strengths are crucial. Unsurprisingly, "lists of previously supplied items" ranks high among desired vendor services.

The majority of respondents participate in regional, national, and international cooperative initiatives that have been created to facilitate the acquisition of and/or access to global resources materials. Two, longstanding initiatives of paramount importance in the field are the Global Resources Network and the Area Microform Projects, both managed by CRL.4 More recently, cooperation has extended to include digitization projects and the purchase of electronic resources. However, cooperation extends beyond acquisitions. A number of respondents indicated that they also collaborate in the areas of staffing and library services. For example, Columbia University Libraries and Cornell University Library have implemented resource-sharing initiatives in various areas, including Latin American, Slavic and East European, South Asian, and Southeast Asian studies.⁵ In some instances, an expert librarian in a given field is retained at only one institution, while providing advice on collection development, reference, and instructional services to library users at the partner institution. Staffing partnerships are currently being explored among the University of Minnesota, the University of Illinois at Urbana-Champaign (UIUC), and the University of Wisconsin at Madison for Japanese studies, and between Indiana University and UIUC in the field of Middle Eastern studies.

Staff and Organizational Structure

Almost all of the respondents' comments reflect an awareness of the changes in publishing and scholarly communication and a need to adjust organizational structures in the libraries accordingly to maintain high levels of service. Several mentioned the interdisciplinary, transnational nature of scholarship and the strong focus on outreach, teaching, and liaison activities among global resources librarians. While they have traditionally played a strong role in these areas, the trend points to even more encouragement for global resources librarians to be involved with their constituencies. Several respondents reported a move away from the reference desk model toward one where global resources librarians provide in-depth, individualized reference service via chat, phone, or virtually.

While organizational change is evident in most libraries, respondents reported a range of organizational models, based on how organizational structures have evolved at specific institutions historically and on individual librarians' expertise in certain areas. At some institutions global resource units are responsible for their own cataloging; others have centralized cataloging departments or a combination of both models. Twenty-five libraries indicated that they have distinct international and area studies units. The organization of those units ranges from an integration of special collections and area studies units to a structure where global resource collection units report to public services. Many of these units, especially those created more recently, have librarians' offices in proximity, with reference desks nearby.

Forty-eight respondents commented on changes in the role of global resources librarians at their institutions. Technological developments and the transition from print to electronic formats mean that librarians not only need to be informed about trends in electronic publishing in their respective world areas, but also, increasingly, to be able to negotiate licensing agreements for electronic sources. Moreover, as global resources librarians become more involved in public services and digitization projects, they must be able to navigate the world of copyright issues.

The survey asked how many years of professional experience global resources librarians have at each library: fewer than five years of experience, six to ten years, 11 to 20 years, and more than 20 years experience. Thirty-six of the 60 respondents (60%) have no librarians with fewer than five years experience. Of those that do have librarians with fewer than five years experience, almost half have only one. Almost an equal number of respondents have global resources librarians in the 6–10 years, 11–20 years, and 20+ years range of professional experience (44, 42, and 43 responses, respectively). The higher number in years of experience can partially be explained with the wide range of qualifications needed in this field. However, this data also reflects a general graying of the profession. At the same time, it is encouraging to note the significant number of institutions who reported librarians in the 6–10 year range, suggesting that the profession is renewing itself.

In spite of this positive trend, comments from the responding institutions point to a number of challenges when trying to recruit global resources librarians. Among the main issues are lack of qualified candidates who have both language and subject expertise; the current economic situation, which at some institutions has resulted in hiring freezes and not being competitive in offering good compensation packages; a lack of motivation among students to specialize in global resources librarianship in light of the diminished number of available positions; the inability to provide green cards or work visas to recruit non-US candidates; and geographic locations that are perceived as less desirable.

Some of the measures taken to address these challenges include giving librarians release time to take foreign language classes, outsourcing some functions, especially cataloging, removing the requirement for an MLS degree and hiring PhD-holders with language skills and subject expertise, offering higher salaries to global resources librarians than to others, prioritizing budget expenditures in the areas of campus need, and scaling down in the areas that are not in high demand.

Preservation Strategies

Protective storage, relying on cooperative initiatives such as HathiTrust⁶, and reformatting are the most frequently used preservation strategies. Comments on the challenges of preserving global resources ranged from noting that global materials are treated the same as other materials to an acute awareness of the special needs of these resources because of poor bindings, acidic paper, etc. This awareness goes hand-in-hand with an acknowledgment that budgetary constraints make it impossible to provide thorough preservation treatment for these resources. In general, many libraries are facing similar problems, such as high acidic paper of materials published in other world areas, lack of sufficient funding for staff training and preservation, and lack of sufficient space for proper storage. Many institutions have begun to rely on the HathiTrust as a source of replacement, thereby extending their means of preservation. Respondents also noted individual treatments—such as boxing on an item-by-item basis and re-binding—as major preservation strategies.

Techniques not used as frequently include deacidification, digitization, and the construction of off-site storage spaces. Budgetary constraints in many cases make the construction of new buildings or the investment in de-acidification projects less of a priority, and digitization tends to be problematic in light of copyright issues in the countries of origin. Moreover, the lines between preservation and facilitating access often blur and result in digitization efforts designed to improve access rather than to preserve materials. As one respondent noted, "We had a very active preservation program...until recently. We worked cooperatively to de-acidify materials, to find grants to microfilm and to digitize. Areas of concentration are now digitization, but these are spun not so much to preserve as to facilitate access." Only one library mentioned disaster planning as part of their preservation strategy.

Only 39 institutions replied to a question about their preservation strategy for electronic global resources. The majority of those said they are adding content to institutional repositories. Some are archiving websites. Others rely on vendors or third-party archiving agencies such as Portico, LOCKSS, and CRL. A few are in the planning stage.

Preservation training did not emerge as a commonly pursued option, mainly for budgetary reasons; instead, many libraries rely on existing staff, although two libraries mentioned new hires specifically for preservation with one focusing on the preservation of e-resources.

Discovery, Public Service, and Outreach

Collection development is closely connected to public service activities that are designed to assist library users in the discovery of global resources. Four survey questions addressed this area.

Libraries use a range of channels to make global resources discoverable. All but a few of the 67 respondents identified the local library catalog and WorldCat as the most frequently used discovery tools. These channels are followed by mobile access to the catalog, global collection websites, international library catalogs, and WorldCat Local. Respondents also identified the local library catalog (88%) and WorldCat (75%) as the most effective tools. While mobile access is widely used (63%), only a few libraries (11%) identify it as the most effective tool. Usability testing might be able to gauge how users engage with library mobile services, which might lead to a more efficient use of such technologies. Twenty libraries reported using other tools, including Google Scholar, Google Books, subject pages, new acquisitions lists, Primo (a commercial discovery tool), and RSS feeds.

Responses to a question about different kinds of reference services and their effectiveness reveal that global resources librarians rely most heavily on specialized reference services (not at a reference desk) (59 responses or 88%). This kind of service was also identified as most effective by almost all of the respondents (56 or 95%). Other frequently used services include stand-alone presentations, library workshops, guest lectures in classes, participation in general reference service, and mobile reference services such as IM and texting. Slightly more than a quarter of the respondents teach credit-bearing courses. Interestingly, while 53 respondents (79%) reported that global resources librarians serve at the general reference desk, only seven (12%) considered it most effective. Similarly, mobile reference services, which are used by 40 respondents (60%), were identified as the most effective service by only four (7%). A small number of libraries also use webinars, phone, and Skype for reference services.

Research guides are the most widely used (57 responses or 86%) and the most effective (39 or 75%) outreach method to encourage use of global resources. Email discussion lists are the second most used method (49 or 74%) and the second most effective (26 or 50%). Physical exhibits, the third most widely used promotion tool (44 or 67%), were identified as the most effective tool by only five libraries (10%). Holding office hours in departments, on the other hand, though practiced by a relatively small number of respondents, is considered to be the third most effective method. Fifteen libraries reported other outreach methods such as announcements, participation in departmental meetings, monthly reports, and instruction for local junior high students.

Forty of the survey respondents reported that their libraries are taking specific measures to improve access to global resources. Their comments reflect that Unicode is now quite widespread among ARL libraries. Other measures for improving access include the display of diacritics in OPACs, handouts and LibGuides, digitization, and web archiving. The multilingual presentation of library materials and services such as multilingual subject webpages, welcome pages, instruction, and reference services were also repeatedly mentioned, as was international collaboration to tap into unique global resources. These initiatives deserve a special note as a promising frontier of collaboration for further exploration. One of these projects is an initiative by the East Asia Library, the University of Washington, and the National Library of China to digitize rare and unique Chinese materials in the University of Washington Library.7 The other is a collaborative project of the University of Washington with research institutes in Thailand to create a bi-lingual Thai/English instance of DSpace, with the goal of providing enhanced access to collections of research materials and photographs from Thai research institutes.8

Conclusion

Our assumption before the survey was that, while global resources have always been an important

collection focus for North American research libraries, the topic has taken on increased significance over the past decade. In the post-9/11 landscape, more emphasis has been given to international studies and, consequently, collecting international resources, both in the traditional area studies disciplines and more widely across all fields. The survey results confirmed our assumptions. Support for global resources in North American research libraries is strong and predicted to remain so in the foreseeable future. In some instances, the survey revealed patterns that suggest obvious connections between global collections and shifting research and political foci. For example, in today's post-Cold War era, budget support for Slavic and East European collections tends to remain stagnant (or, in some instances, to decline); whereas, since the 9/11 events, Middle Eastern and Islamic materials have received more funding. And, it is not surprising that Latin American collections emerge as consistently strong, since immigration from Latin American countries to the US has been an important factor of US life for a considerable amount of time, and US relations with Latin America are strong in many areas, ranging from trade and energy agreements to cooperation in illegal drug control policy. Similarly, growing technological and economic strengths make East Asia an equal player on the global stage. In particular, the opening up of China that has occurred since the 1980s has resulted in an increased interest in learning Chinese and in research on the culture, economy, and politics of China. Global collections in ARL libraries reflect these realities. At some institutions, the collections are the result of historical collection interests; at others they are a response to research interest in the scholarly community, which, in turn, reacts to the complex interactions and realities of our increasingly globalized society.

While clearly tied to historical, political, and social developments, global collections also exist as parts of research libraries and need to be seen in the larger context of issues surrounding research libraries today. Budget and space challenges, as well as increasing electronic access to resources with resulting changes in research habits of students and faculty, will create new and different patterns in collection growth. Within this framework, global resources

collections—which in some instances are still mostly in print and in others have at best a combination of electronic and print formats—occupy an interesting position. Looked at from the perspective of global resources librarians, some core activities relating to their collections have not changed: the nature of their resources makes intense outreach, reference, and collaborative collection development essential.

The survey responses, however, indicate that global resources would benefit from more visibility than in the past. For example, because of the idiosyncratic nature of access to global resources, librarians in those areas have traditionally been extremely active in reaching out to their constituents through in-depth reference, bibliographic instruction, and liaison activities with academic units. However, in an environment where libraries note a decrease in gate counts and an increase in scholars accessing information electronically, outreach (i.e., bringing collections and reference services to the user) takes on a new significance. The survey shows that many libraries either already have or are in the process of creating organizational structures that facilitate such outreach, thereby raising the level of visibility and support for activities global studies librarians have engaged in for a long time.

A similar trend is seen when it comes to collaboration. Since the days of the first union catalogs, libraries have worked together to share and exchange information. Global studies librarians, in particular, have always functioned in a collaborative environment. In fact, much of their work would not have been possible without partnerships, especially in the area of collection development and reference. Recently, however, collaboration at the national level has been taken to a higher level. The development of shared print repositories and partnerships such as HathiTrust are just two examples. While global collections librarians participate in and benefit from the initiatives on the national stage, these initiatives take on different, international forms as well. Collaboration, in fact, emerges as an overarching theme from the survey. And the electronic sharing of materials, either through joint efforts to populate institutional repositories or through collaborative digitization projects, will likely increase.

Furthermore, the survey responses indicate that other forms of collaboration, such as sharing the positions of global resources librarians by several institutions, are currently in progress at several libraries. It is still too early to assess the effectiveness and the impact on the profession of these latter initiatives. It seems safe to predict, however, that collaboration and partnerships of global resources librarians within the framework of other collaborative efforts at their libraries (e.g., through consortial agreements), and through partnerships with colleagues and libraries at the international level, will only increase in the future.

Looking at the survey responses, the future of global studies collections can be contemplated with cautious optimism: support for global studies collections remains strong and, propelled by other developments in research libraries more generally, the work of global resources librarians receives more support and visibility. At the same time, global resources collections face challenges that add a layer of unpredictability to their future. For example, though aligning and centralizing global resources collections within libraries may strengthen them, this development is not without risks. Balancing the identity and specialized workflow needs of individual collections with a library's need for efficiency and cost-effectiveness will always be a precarious undertaking, particularly when implementing reorganizations. This is a dynamic process that involves relationships among libraries at the national level, among individual collections, and with library administrations. Such relationships will likely remain in a process of constant negotiation.

Budget cuts and reductions in alternative funding pose additional problems. Libraries have to balance their support of global resources with the needs in other areas, and it is too early to assess the impact of recent significant cuts to the US Department of Education's Title VI program on global resources collections. Furthermore, at a time of increasing financial constraints, it is critically important for the research library community to think about how it can continue to support standard collection development practices, such as acquisitions trips, title-by-title selection, and management of gift-in-kind programs.

Together, the issues outlined here represent a complex framework and context for collecting global resources, which will shape our collections for the foreseeable future. We are acutely aware that multiple developments in the information world converge and are in the process of transforming the nature of our global collections significantly: changes in scholarly communication; new and different ways of conducting research; different ways of accessing information; changes in the publishing industry worldwide with a trend towards the electronic medium; fast-growing, open-access movements in some world areas; and resulting changes in the way we approach the collection of global resources, and in the way we provide access to them. All of these factors have a profound impact on the collection of global resources at ARL institutions.

Endnotes

- 1 Issues such as cataloging and the description and organization of both print and electronic global resources collections, while connected to the focus of this survey, go beyond the scope of this discussion and, in fact, deserve to be studied in a separate survey.
- 2 The Library of Congress maintains offices abroad to acquire, catalog, preserve, and distribute library and research materials from other world areas. In addition to serving the Library of Congress, these offices conduct Cooperative Acquisitions Programs (CAP) for over 100 participating institutions. For more information, see: http://www.loc.gov/acq/ovop/.

- 3 The Committee on Institutional Cooperation is a consortium of the Big Ten universities plus the University of Chicago. For more information, see: http://www.cic.net/Home.aspx.
- For more information on the Global Resources Network and the Area Microform Projects, see: http://www.crl.edu/grn and http://www.crl.edu/area-studies/.
- 5 The partnership known as "2CUL" between Columbia and Cornell, is described here: http://test.2cul.library.cornell.edu/.
- 6 HathiTrust is a partnership of major research institutions and libraries designed to preserve and provide access to the cultural record. For more information, see: http://www.hathitrust.org.
- 7 See: http://www.lib.washington.edu/about/news/ media/chinese-book-digitization.
- 8 See: http://dartproject.org/.
- 9 The US Department of Education Title VI program administers grants in support of foreign language, area, and international studies at US institutions. For more information, see: http://www2.ed.gov/about/offices/list/ope/iegps/title-six.html.