

PD - AAC - 847

7/2/11/55

119

ISN 38720

ACTION MEMORANDUM

May 29, 1979

TO: DAA/DS/FN, Mr. Tony Babb

FROM: DS/AGR, Dean F. Peterson *Dean F. Peterson*

SUBJECT: Proposal for Maintaining the International Center for Marine Resources Development (ICMRD) Information Service at the University of Rhode Island (URI)

Problem: Your approval is requested for a small activity project to finance partial costs (\$41,399) to continue subject Information Service at the University of Rhode Island for one year.

Discussion: The ICMRD was established with an A.I.D. 211(d) grant in 1969 to enable URI to strengthen and expand its research, teaching, consultation and service capabilities into an international dimension. Over the years, the original 211(d) grant has been amended and additional funds have been added to provide continuing support to this effort. The URI has, through a combination of efforts, been able to take on a greater and greater share of the financial support of this effort to the point that A.I.D. now plans to terminate the 211(d) grant on August 31, 1979.

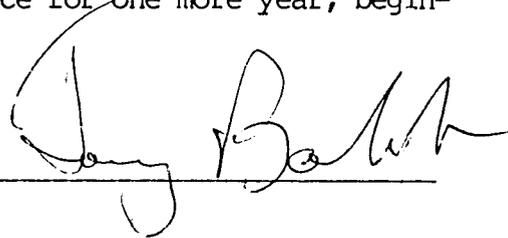
However, there is one part of the ICMRD Program, namely, the Information Service, that will not be fully supported financially once the 211(d) grant terminates. The regular interim evaluation of the grant in November 1978, recognized that the Information Service would very likely be discontinued in the absence of some further support outside the University and recommended that URI consider the requirements to maintain the Information Service, seek alternative sources of funding, and, if appropriate, prepare a proposal to be submitted to A.I.D. (See items 1, 2, and 3 on PES, PART I - attached). A proposal from URI transmitted under letter dated April 27, requests funding in the amount of \$41,399 to allow continuation of the Information Service at full capability and provides details as to past utilization, budget requirements and other funding contribution (see copy of attached proposal)

We fully agree that the accomplishments of this aspect of the ICMRD program over the years has been excellent, that there is a continuing

need for this service in the future, and that it is in A.I.D.'s best interest to support this request for assistance. We plan to look carefully at this element of URI's program in the forthcoming final evaluation of the 211(d) grant project at the end of August this year. In anticipation that the evaluation will find that continued A.I.D. support of this activity is warranted, we have included a request for funds in the FY 1981 ABS now being completed and are prepared to request continuing support in FY 1982 and beyond as long as the service continues to be useful. The TPCA subcommittee which recently reviewed the Fisheries Division draft ABS and proposed FY 81 portfolio reacted favorably to this activity.

Because the planned 211(d) evaluation will not be completed in time to provide continuity in funding and because URI needs to have an early signal as to whether this activity should be continued or disbanded, we believe that the Information Service should be supported for an additional period beginning September 1, pending the confirmation of a decision to continue longer term support. Based on the August evaluation, we will be able to determine more definitively the parameters for continuing the project and any design changes which may be required.

Recommendation: That you approve a special support grant in the amount of \$41,399 to the University of Rhode Island for the purpose of allowing them to maintain the ICMRD Information Service for one more year, beginning September 1, 1979.

Approved   
Disapproved \_\_\_\_\_  
Date 6.7.79

Attachments: a/s

Clearances:

DS/AGR/F:DMJones		Date <u>5-29-79</u>
DS/AGR:Mozynski		Date <u>5-29-79</u>
DS/PO:RSimpson		Date <u>6/1</u>
DS/PO:PGage		Date <u>6.1.79</u>

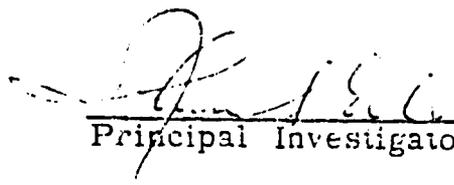
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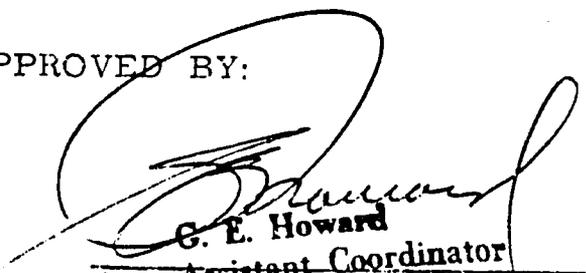
# 429

UNIVERSITY OF RHODE ISLAND  
APPROVAL SHEET

TITLE: TRAINING ICMRD INFORMATION SERVICE  
DATE: April 27, 1979  
AGENCY: AGENCY FOR INTERNATIONAL DEVELOPMENT  
\$41,399

APPROVED BY:

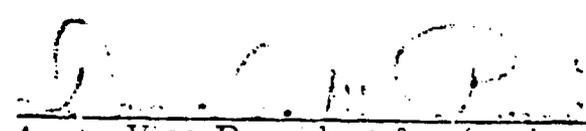
  
Principal Investigator

  
G. E. Howard  
Assistant Coordinator  
of Research

\_\_\_\_\_  
Chairman of Department

\_\_\_\_\_  
Vice President for Business Affairs

*Raw*  
\_\_\_\_\_  
Dean of College, Director, ICMRD

  
\_\_\_\_\_  
Asst. Vice President for Academic Affairs

- 1 -

PROPOSAL

for

Maintaining the ICMRD Information Service

at the

University of Rhode Island

I. PURPOSE

The purpose of this Proposal is to solicit partial support in the amount of \$41,399 for maintaining the ICMRD Information Service at the University of Rhode Island after the scheduled termination date of the University's 211(d) Grant on August 31, 1978. It is important to its users that the ICMRD Information Service, with its unique collection of marine resource materials not otherwise centrally available, continue to be able to respond to their requests for information on small-scale fisheries and marine food production in developing countries. An increasing number of requests are received from users in U.S. and international agencies, as well as from developing country institutions, in addition to the substantial volume of requests from URI faculty and students engaged in marine resource studies or projects.

II. BACKGROUND

A. Establishment of ICMRD and the Information Service: Original Concept

The International Center for Marine Resource Development (ICMRD) was established in 1969 following the award of a five-year, \$750,000 211(d) Grant to the University of Rhode Island to enable the University to strengthen and expand its research, teaching, consultation, and service capabilities to an international dimension.

Specific objectives of ICMRD included, among others, multi-disciplinary studies of the role of marine resources, especially fisheries, in less-developed countries; the organization of courses and seminars in degree programs related to the food and nutritional aspects of marine resources; and research on marine matters for AID and other agencies with similar interests.

The original concept for the establishment of an information service was based on the fact that to support ICMRD's initial objectives as set forth in its 211(d) Grant it was essential to acquire reports, studies, monographs, theses and similar materials (sometimes called "gray" literature) which were not normally available in academic or public libraries. The University Library and the Pell Library (with its Sea Grant Depository) at the University Graduate School of Oceanography provided most of the standard and academic publications on marine resources that research under the grant required. What was needed were unpublished materials existing in the United States and abroad as well as certain highly specialized publications not found in the other libraries.

About 13 per cent of the original budget of \$750,000 was allocated to engage the services of a trained information specialist/librarian, to purchase equipment and acquire the literature. The University allocated two rooms of a former private residence for the ICMRD Information Service and until the fall of 1977 the service was housed there.

Fortunately, the University was able to employ a librarian who had a special interest in marine affairs to head this new service. A decade later she continues to respond to ever-increasing requests for information and reference material in a highly professional manner.

## B Transition

As the University strengthened its marine resource capabilities there was increasing interest at home and abroad in the potential of coastal and freshwater fisheries as a source of high protein food. Many believed that this resource, normally harvested by artisanal farmer/fishermen, could and should be made readily available at an affordable cost to the rural poor of the LDCs.

This increasing interest in fisheries was reflected in the transition of the objectives of the 211(d) Grant in 1975 from strengthening the University's marine capabilities to developing its new focus on its institutional response capability in the economic and socio-cultural aspects of small-scale (artisanal) fisheries and aquaculture in the LDCs. This was to be accomplished through a State-of-the-Art exercise, a framework for grant decision-making, collaboration on research and training needs as well as operational priorities, and the inclusion of socio-economic aspects.

In 1977, the University received a supplemental grant to enable it to further develop and expand its knowledge base and research; mobilize manpower to provide technical assistance in resolving LDC fisheries sector problems; strengthen linkages to other LDC fisheries development institutions; and "maintain and operate an up-to-date information capacity."\*

The Information Service had steadily increased its holdings as interest in fisheries grew, and more and more requests were received for information on marine resources and related food production, as well as the distribution and marketing of marine foods.

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\*Underlining added

The University in late 1977 provided specially designed space in the new wing of the main library at no cost to the grant to house the holdings which had outgrown all the space previously made available. The increased interest in fisheries also resulted in more material becoming available as the U.S. and international agencies expanded their documentation output. Additional grant funds were allocated for personnel and equipment to help meet the growing number of information requests. Today, the University's Information Service continues to respond promptly and in depth to these requests but as the complexity of inquiries increases it now takes longer and has become more expensive to perform this useful function.

In effect, the new focus on institutional response/information capacity has become sharper, and there will be an even greater need for marine resource information as Title XII food production programs are implemented, whether at Rhode Island or other universities. The need and demand for material from the ICMRD Information Service will also increase as U.S. (including AID) and international agencies, and the LDC governments, realize the contribution small-scale fisheries and aquaculture can make to improving the supply of protein-rich food for the rural poor, thus contributing to the prevention of hunger and famine.

### C. Holdings

Holdings in the field of fisheries development are complicated by the multi-disciplinary nature of the subject and the numerous issuing agencies and organizations involved. Not only is background information on specific countries and fisheries required but relevant documentation is needed on such aspects as fishing gear and vessels, training of fishermen and improvement of educational services, marine food production, processing and

marketing, management (both biological and economic aspects), government policy and its implementation, aquaculture, and anthropologic/sociologic investigations. In addition, although bibliographic tools in the field have improved, there is still a substantial time lag between publications and indexing; more importantly, often only limited quantities of documents are published and ordering must be done immediately because supplies are quickly depleted. The acquisition of such materials requires continuous searching of newsletters, periodicals, and reports as well as the use of standard library tools.

The task has been facilitated by the cooperation of faculty who collect material when on assignments or who alert the Information Specialist to the availability of documents. In addition, a network of contacts has been established with important issuing agencies. The mailing list now numbers 51 national and international addresses. Material is obtained from such international agencies as the Food and Agriculture Organization, UNESCO, UNDP, UNIDO, UNITAR and IOC. Contacts have been established with regional groups, including the Indian Oceans Fishery Commission (IOFC), the Indo-Pacific Fisheries Council (IPFC), the Fishery Committee for the Eastern Central Atlantic (CECAF), the Southeast Asian Fisheries Development Center (SEAFDEC), the Permanent Commission of the Conference on the Use and Conservation of the Marine Resources of the South Pacific (PCSP), and the East-West Center, to name just a few. Much material is acquired through exchange arrangements, especially with country institutions.

At the University of Rhode Island there are a significant number of marine-oriented programs, including instructional and service functions. In addition to the Graduate School of Oceanography there are marine specialties in resource economics, aquaculture, marine affairs, ocean engineering,

coastal resources and fisheries and marine technology. In addition to the library facilities available at the Main University Library and the Pell Library at the Graduate School of Oceanography, other specialized collections exist at URI. Among these may be cited the National Sea Grant Depository, containing all U.S.-generated Sea Grant publications; the Water Resources Center, housed in the College of Engineering; and the coastal resources collection, in the Division of Marine Resources. Staff members have received substantial grants from agencies such as NMFS, NSF and the Department of the Interior, to work on marine projects. All this expertise has contributed to the growth of the ICMRD collection since there is an intra-university sharing of materials and knowledge. Because of the location of the ICMRD collection in the University Library, budgeted ICMRD funds do not have to be spent on basic materials and periodicals, which allows for a greater direct allocation of funds to other acquisitions.

The ICMRD holdings now contain approximately 4,500 documents, 300 books and 100 maps. Some 40 magazines and 60 newsletters are received on a regular basis. Bibliographies, atlases, indexes and source volumes are purchased to assist in the acquisition of materials. Most holdings are purchased but many are received under exchange agreements. The collection is arranged in subject and country files; minimal cataloging and classification is done. Because of the nature of the material it has been found that time and expenses of formal handling processes are inappropriate. The essence of the collection is its flexibility to respond to changing situations and needs. Currently, numerous regional groupings are being formed to facilitate fisheries development and considerable information is required due to expanded ocean claims and increased emphasis on fishery resources.

D. Usage

The use of ICMRD holdings on campus, and the number of inquiries received from national and international agencies have steadily increased each year.

On campus, the transition from basic to applied research and active participation of faculty and students in 211(d) Grant State-of-the-Art and Small-Scale Fisheries Development Program activities, as well as related projects funded from other sources, brought about the mounting number of inquiries and use of Information Service materials. They also consulted with the Information Specialist and, through her, with other professionals at the University Library and the Pell Library (Bay Campus) to obtain standard references on marine topics.

Off campus, requests for information and for materials come from faculty and students at other educational institutions such as Woods Hole Oceanographic Institution, Tufts University, Cornell University and the University of Washington. Requests have also been received from state and federal agencies including the Environmental Protection Agency, Department of Agriculture, National Marine Fisheries Service, and AID, among others. Business and consulting firms have also sought information. Letters have been received from abroad from U.S. officials in AID missions, Peace Corps and Agricultural Attache offices. Private charitable organizations overseas have sought assistance. Inquiries have also been received from foreign institutions and individuals including the National Director of Fisheries, Mozambique, the Central Library of the University of Baghdad, and the Instituto de Pesquisas de Marinha, Brazil. Exchange arrangements have been established with more than 100 organizations, particularly

foreign and inter-governmental agencies. In addition to more general information and document requests, the Information Service provided special detailed responses to questions on marine-related topics, as well as preparing bibliographies and supplying background documentation.

There follows a statistical analysis of these various types of inquiries:

Usage Statistics - 1977-79

Approximate Number of Individual Inquiries	780
Estimated Number Requesting Materials Only	720
Estimated Number Requesting Information Requiring Research	60
Estimated Hours Spent on Responding to Requests for Material	600
Estimated Hours Spent on Responding to Requests for Information Requiring Research	100

Profile of Location of Recipients\* of ICMRD Documents:

<u>Area</u>	<u>Number of Documents Sent</u>
Latin America	354
Asia	260
Europe	178
Africa	41
Pacific, including Australia and New Zealand	28
Canada	16
Middle East	2
United States	578
FAO and Related Agencies	62
USAID	<u>94</u>
Total	1,613

\*With the exception of U.S. figure, requests generally come from institutions and agencies.

Representative examples of the types of inquiries and responses will be found in Appendix I.

### III. JUSTIFICATION

#### A. Need

As stated previously, there has been increasing worldwide interest in small-scale fisheries as a readily available, labor-intensive and economical source of high protein food for the poorest of the rural poor. Title XII of the Foreign Assistance Act specifically recognizes the role of marine and freshwater fisheries in the prevention of hunger and famine by defining "agriculture" as including fisheries and aquaculture, and "farmers" as including "fishermen and other persons employed in the cultivating and harvesting of food resources from salt and fresh waters."

The basic justification for continuing this service is the growing need for information, here and abroad, regarding small-scale fisheries and the role they play in the production of food.

#### B. No Duplication of Holdings

The centralized holdings of the ICMRD Information Service are not duplicated elsewhere and its services could not be provided by others except as the result of an investment comparable to that made by USAID over the past decade and an effort comparable to that made by the ICMRD staff during the same period.

As noted earlier, the holdings are known as "gray literature." They are made available in small numbers; acquisition is difficult, time consuming and impossible to systematize. Some Conference Proceedings may not be printed for two or three years even though citations to papers begin to appear almost immediately following the conference. Obtaining correct addresses of issuing agencies here and overseas can be difficult. Payments of small sums (\$0.50 to \$2.00) in foreign currencies strain the resources and patience

of purchasing and accounting offices. Air mail is expensive and surface mail is delayed, often damaged and even lost.

These problems are real deterrents for a standard university or public library. Neither the University's Main Library nor the Pell Library has acquired nor are they at all likely voluntarily to acquire holdings similar to those of the ICMRD Information Service. At the moment, University funds are not even adequate for needed standard reference works and publications. While some national and international agencies have collections of their own issuance and exchange some materials, the inquiries received by ICMRD from such agencies clearly indicate that they do not by any means duplicate - nor do they try to duplicate - the ICMRD Information Service collection.

C. No Duplication of Service

Even if some library or agency held a substantial collection of "gray literature," it would be of little benefit if the information contained in the collection were not made available on request. An information service is essential if others are to benefit.

The ICMRD materials, augmented by standard resource materials in the URI and Pell Libraries, plus the experience gained by the ICMRD Information Specialist over the past several years and her wealth of contacts in both U.S. and foreign institutions, make possible the provision of an interdisciplinary Information Service that is not duplicated elsewhere so far as is known in this university.

Responses to requests for other than routine information can seldom be simple or brief. They nearly always require extensive research and complex replies which must take into account the capabilities and facilities of the requesting country. For example, recently representatives

from universities in Costa Rica visited the ICMRD Information Service and asked for assistance in the acquisition and organization of "gray literature." They also asked that documents on Costa Rica fisheries and development plans be duplicated and sent to them because they had been unable to acquire them in Costa Rica. This is a typical problem faced by many institutions in developing countries. Two visiting Indonesian professors also sought advice on acquiring this type of material. They advised that they could not use documents available only in microfiche or microfilm formats; the electricity supply at their institution (located on an isolated island) was provided by generator and was sufficient only for essential laboratory work.

There are numerous examples of unique requests for information which require a sound knowledge of the subject, knowing where to find the information, established contacts with those who can add knowledge and experience to the information, unlimited patience and, often, a sense of humor.

To repeat, so far as is known, no comparable information service exists in the United States or in any other country. It is needed worldwide.

#### D. Quality of Information Service

An indication of the quality of the replies made to requests for this information may be found in the several letters which form an attachment to this Proposal. It will be seen that many are two or three pages of single-space typing which represent many hours of research and consultation by the Information Specialist (see statistical analysis on p. 8). In a few instances, end-users have expressed appreciation for promptness and/or "extensive research." (See Appendix II).

AID and other agency personnel conducting reviews of the 211(d) Grant programs at URI have been most complimentary regarding the quality of the Information Service. The NOAA representative on the 1976 Mid-Extension Review Team, who had also been a member of the 1974 Review Team, remarked particularly on the progress that had been made in two years and urged more support for the information element of the program. His views were reflected somewhat more succinctly in the Project Appraisal Report which requested the University to evaluate needs and draw up a plan for acquisitions, staffing and adequate funding.

Continuing support for the Information Service was a key element in the report of the 1978 evaluation and the Project Evaluation Summary required the University to determine the desirability, cost and feasibility for continuing the Information Service. Based on a positive determination, the University was to seek alternative funding sources and prepare definite proposals. One such proposal was submitted to BIFAD/AID under the provisions of Title XII. This Proposal is also submitted in response to the Project Evaluation Summary.

These external references to the quality of the Information Service give credence to the University's conclusion that the staff of the Information Center has earned an enviable reputation for the highest quality of service to users seeking information concerning marine resources.

#### IV. CONSEQUENCES OF GRANT TERMINATION

The 211(d) Grant, which terminates on August 31, 1979, is the principal support for the ICMRD Information Service. The University has been seeking sources of funds that would make possible the continuation of the ICMRD

Information Service because current and very real shortages of State funds preclude replacement of 211(d) Grant funds by the University. One source of funding, the BIFAD/AID Title XII Strengthening Grant, is expected to provide a portion of the salaries, acquisition and services inasmuch as BIFAD has officially notified the University that its Proposal was approved and recommended to AID for funding. Consequently, this Proposal requests only the balance of the funding that would be required to maintain the Information Service at its present level.

If this Proposal is not approved, the University will obviously have to curtail the Information Service because it would not be able to continue to pay the salaries of the Information Specialist and her part-time student assistant. It is problematical whether the Information Specialist could or would be able to continue on a part-time basis. Even if she did, the Service's excellent reputation for prompt and complete replies would undoubtedly suffer. If Title XII partial funding should not become available, the Information Service as it is now constituted would have to be discontinued.

In this event, there would be the question of what to do about acquisitions and maintaining present holdings. Some material would continue to be received automatically for an indefinite period. ICMRD would endeavor to persuade the URI and Pell Libraries to take over and integrate about 50 per cent of the holdings. The rest might be held in ICMRD space for personal research by interested faculty and students. Some material might have to be destroyed eventually. Off-campus users, of course, could not be accommodated unless they visited ICMRD.

V. UNIVERSITY SUPPORT

The University has provided specially-designed space for the Information Service in its new wing of the Main Library at no cost to the 211(d) Grant. Utilities, janitorial, security and messenger services continue to be provided as a contribution to the 211(d) Grant projects. To the extent that the Information Service can be kept in operation, the space and these services will continue to be provided.

The University Librarian, Dr. Parks, advised ICMRD that the services of the architects and the modifications necessary to make the space available for the Information Service (extending heat and air ducts, installing electrical outlets, telephone connections, and the partition separating the area from the rest of the Library) were estimated to have cost about \$5,000. The Library also furnished files and shelving worth about \$1,500-\$2,000.

On an annual basis, the Director of ICMRD, whose services are provided without cost to ICMRD grants or contracts, probably devotes about \$2,000-\$3,000 worth of his time to the ICMRD Information Service which is under his immediate supervision (the Information Specialist reports directly to the Director). Janitorial, security and messenger services, and the provision of heat, light and air conditioning are estimated at about \$7,000 per year and constitute an "in kind" contribution since no overhead is payable under the 211(d) Grant.

Accordingly, in addition to the one-time cash contribution of some \$6,000-\$7,000, the University considers that on an annual basis it "matches" about \$2,000-\$3,000 in Grant funds and contributes "in kind" services valued at about \$7,000 per year for a total of about \$10,000.

A contribution that cannot be estimated in dollars is the value of professional knowledge and experience provided by faculty in the preparation

of responses to information requests. Those who are authors of materials on file in the Information Service are always ready to help draft a response pertaining to their papers or publications, and other staff members of the University are generous in giving time for replies pertaining to their fields of interest. Those faculty who participate in the Small-Scale Fisheries Development Program funded by the 211(d) Grant also willingly make their expertise available on request. Faculty in the Department of Food Science and Technology, Nutrition and Dietetics are called upon more and more frequently to help with replies concerning marine food production and preservation, diets and nutrition.

Another invaluable contribution is the material written by faculty and students. The Information Service provides an incentive for them to produce "gray" material because they know it may be used or mailed out to others. Such usage, of course, adds to their academic standing.

In sum, the University makes and will continue to make a substantial matching and in kind contribution to the Information Service, and plans to use grant and contract funds to the extent these become available to maintain the Service.

VI. BUDGET

	<u>Total Required</u>	<u>Other Funding</u>	<u>Requested Balance</u>
<b>Personal Salaries</b>			
Information Spec./Librarian	16,824	5,000	11,824
Library Tech./Assistant	<u>9,500</u>	<u>3,000</u>	<u>6,500</u>
	26,324	8,000	18,324
 New Fringe Benefit Rate effective July 1, 1979 for unclassified per- sonnel - 19%	 -0-	 -0-	 <u>3,482</u>
<b>Total Salaries subject to F/B</b>			<b>21,806</b>

	<u>Total Required</u>	<u>Other Funding</u>	<u>Requested Balance</u>
Cataloger (Grad. student- part-time)	<u>5,000</u>	<u>-0-</u>	<u>5,000</u>
Total Salaries	31,324	8,000	26,806
Acquisitions, etc.	9,000	2,000	7,000
Communications, etc.	<u>5,500</u>	<u>1,000</u>	<u>4,500</u>
	45,824	11,000	38,306
Indirect Costs @ 8% (HEW)			<u>3,093</u>
			\$41,399

(8% for "training" or "information"  
program - not "research")

VII. CONCLUSION

The University of Rhode Island earnestly hopes that the Agency for International Development will approve <sup>AND FUND</sup> this Proposal. In so doing, it will insure the continuation of an Information Service which is of significant importance to its users in U.S. and international agencies, institutions in developing countries and international charitable organizations concerned with marine resources, with special reference to marine food production. Further, the Agency would protect the substantial investment it has made in developing this unique service until the ICMRD becomes fully self-sustaining which is a distinct possibility within two to three years.