Northwestern Global Strategic Plan
White Paper Series

The Northwestern global strategic planning process builds upon important campus-wide planning conversations about Northwestern’s global direction over the last ten years. For the current process, over 200 Northwestern University stakeholders have been engaged in conversations that will form the basis of the strategic plan:

- **Global Mapping Project (Fall 2018)** – Northwestern Buffett staff conducted a thorough analysis of the University’s current global programming and collaborations, working with partners in each of the schools to understand Northwestern’s global footprint.

- **Northwestern Strategic Plan Contact Groups and White Paper Series (Spring 2019 – Ongoing)** – The planning process is structured around a set of priority areas, which are addressed by committees of faculty, administration, student and alumni leaders:
  
  - Impactful Global Research
  - Strategic Global Partnerships
  - Multilingualism
  - Global Learning
  - Role of Northwestern Buffett
  - Infrastructure and Logistics
  - International Faculty, Students and Scholars
  - Role of Information Technologies
  - Alumni Engagement
  - Data Analytics
  - Global Reputation

The findings of these groups are defined in white papers drafted by the groups’ co-conveners. Key ideas from these groups and the white papers they author will be further synthesized into the Northwestern Global Strategic Plan and its implementation.

The full strategic plan will be shared with the Board of Trustees at its March 2020 meeting.

*Please direct comments about the Northwestern Global Strategic Plan and the preliminary findings as described in the White Paper Series to Meghan Ozaroski at m-ozaroski@northwestern.edu.*
# Northwestern Global Strategic Plan White Paper Series:
## Strategic Global Partnerships
### Draft – July 26, 2019

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Introduction

Key Questions
• What should be unique features, purposes, and measurable outcomes for Northwestern’s global partnerships?
• What criteria should be considered when selecting global partners?
• How can Northwestern best pursue a strategy of equitable partnerships in an unequal world?

Strategic Global Partnerships Contact Group Information:
• Conveners: Annelise Riles and Julie Petrie
• Staff Lead: Meghan Ozaroski
• Contact Group Participants:
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  o Penelope Deutscher – Professor of Philosophy, Weinberg College
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  o Laura Hein – Professor of History, Weinberg College
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  o Michael Loriaux – Professor of Political Science, Weinberg College
  o Robert Murphy – Executive Director of the Institute for Global Health, Feinberg
  o Baron Reed – Professor of Philosophy, Weinberg College (2018-19 Faculty Senate Chair)
  o Christopher Udry – Professor of Economics, Weinberg College
  o Jeffrey Winters – Professor of Political Science, Weinberg College

Vision and Values for Global Partnerships

We imagine a world in which a Northwestern scholar, staff member, or student understands themselves to be a part of a global network of universities—and that movement, collaboration, and resource sharing throughout this network is seamless. We seek to mount a variety of specific research and community engagement initiatives through this network that will, each in their own way, enable us collectively to address the greatest global challenges of our time. We are interested in developing multifaceted connections and resource-sharing with our partners that include teaching, learning, research, shared access to collections, and public engagement.

We believe that this network will usher in a new mindset at Northwestern in which a global perspective is fundamental. This network will change how we think about community, diversity, and inclusion; how we think about merit and about impact. It will change how we collaborate. These relationships and the knowledge they fuel will change how and what we teach. This network will increase our teaching potential and our learning opportunities. It will give us a new, more global identity and expand our reputation globally as an accessible, connected university.
We believe that grounding research on the “legs” of multiple campus units and multiple global institutions will foster innovation, ensure sustainability, and create wide impact. Existing bilateral relationships across schools and units can be scaled up to university-wide multilateral relationships.

We recognize that to succeed, we must be willing to take collective risks toward innovation and seize opportunities for engagement.

**Core Values**

Our approach to global partnerships is founded on core values, which we will integrate into all aspects of partner engagement and global programming:

- **Scholarly Excellence and Rigor** – Global engagement will be driven by university academic priorities, faculty input, important research questions, clinical opportunities, and areas of global need. High standards for assessment and evaluation will be maintained in collaborative programs.

- **Interdisciplinarity** – We will foster innovation through our international engagement by bringing together bright minds from across disciplines, sectors, and national boundaries to address complex global issues.

- **Collaboration** – The purpose of partnerships is to encourage collaboration between individuals and entities at all levels. The governance of the partnership likewise should be collaborative in a spirit of community and an openness to unexpected connections.

- **Sharing** – We value reciprocity with global partners and wish to invest in sharing costs and benefits of our work. Genuine reciprocity includes recognition of the value of diverse, non-monetary contributions from intellectual, cultural, and human resources.

- **Community Engagement** – Through our global partnerships we seek to break down the walls that divide universities from the worlds beyond. The participation of stakeholders outside the university, from across countries and communities, must be integral to the conception, process, and products of research and teaching.

- **Equity, Diversity, and Inclusion** – These university-wide principles must be applied with intentionality to global partnership development, governance, research activities, practitioner involvement, and end user/community engagement.

- **Impact** – Our activities will address the greatest challenges affecting the world now and anticipated in the future.

In line with our values, our global partnerships have the following key objectives:

- We will create an environment in which any Northwestern scholar, staff member, or student has full access to an intellectual community of 10-15 global universities.

- We will incubate and support research collaborations across disciplines and national boundaries so that our researchers are able to achieve the highest standards of research excellence and offer new solutions to problems that must be understood from a global point of view.

- We will create longer term relationships with key faculty at partner institutions and the presence of these faculty on our campuses will jump-start new research collaborations, deepen existing strengths, increase our course offerings, and provide new opportunities for graduate student training.

- We will increase opportunities for our faculty and students to rotate throughout the network as visiting scholars and students and lower logistical and financial barriers to such rotation.
• We will enhance the quality of our international curriculum and pioneer innovations in global learning so that our students are fully prepared for leadership in a global environment.
• We will harness digital technologies to build and maintain peer-to-peer relations between faculty and students around the world.
• We will pioneer an approach to global partnership in which individuals and institutions flourish alongside one another in their differences.
• We will expand our engagement with non-academic stakeholders and practitioners on issues of global concern.
• We will amplify our access to global audiences, resources, and expertise.
• We will increase the international engagement across our campuses.
• We will raise our global profile.

To achieve these objectives, Northwestern must build partnerships with the following concrete goals in mind:

The partnership model needs to be designed for innovation and impact. At minimum, the design must:
• Prioritize faculty-driven research projects that intensively and equitably engage international scholars and practitioners from throughout the partnership network;
• Create opportunity for collaborative idea incubation across the network with diverse participation from different disciplines, sectors, countries, and backgrounds;
• Mobilize the Northwestern community and its global partners to respond to global challenges, carrying the effort through from “idea incubation” through the research process to concrete regional, national, or international action and impact, and
• Expand opportunities for shared teaching and learning.

The model must expand the global reach of participating institutions and individuals by:
• Broadening the scope of global research activities through untapped collaborative opportunities;
• Expanding opportunities for researchers from different parts of each university to connect with those in other disciplines at global partner institutions;
• Building a global community of active participants;
• Engaging international scholars, practitioners, and global audiences from global civil society, government, business, and the arts;
• Leveraging language learning opportunities and multilingual resources;
• Cultivating the contributions of international students and scholars through formal and informal opportunities for engagement with Northwestern students, faculty, staff, and alumni.

The model must reduce barriers to global collaboration. At minimum, the model must:
• Respond to barriers created by regulatory constraints, governance issues, and structures or institutional cultures that limit effective global engagement;
• Provide logistical support for the rotation of students and scholars with and among global partners, with attention to diverse needs;
• Harness digital technologies to support international engagement;
• Build greater awareness of global activities and opportunities across Northwestern and among global partners, and
• Allow for evaluation and monitoring of international partnerships for quality, effectiveness, and potential impact.
PART 1: Models for University Globalization

Historic Models

Northwestern’s plan must take into account the most current models of global engagement as implemented by higher education institutions in the U.S. and around the world. The following overview of global engagement models provides background to the choices that others have made.

University Globalization - Phase 1: Bringing the World to Campus

In this model, U.S. institutions invite the world to come to them. Bolstered by the prestige of a U.S. education, universities easily attracted international students and scholars.

This expectation of having the world come to the United States to receive the best and most prestigious education is outliving its usefulness. International students and scholars have more options than ever before, and barriers for coming to the U.S. for education—such as visa regulations and costs for international students—are becoming more difficult to overcome. In the global university rankings, international universities such as China’s Tsinghua University and the National University of Singapore are passing some of the most elite universities in the United States, including Northwestern. U.S. and European universities can no longer take for granted their status as a top choice for international students and scholars in perpetuity—nor should they wish to.

University Globalization - Phase 2: Bringing the Campus to the World

Branch Campuses

In this model, U.S. institutions open their own independent campuses abroad, without local partnership or buy-in. U.S. universities have faced significant challenges with this model, including largescale pushback from faculty and closures due to financial difficulties.

The model of having a U.S. university going abroad to plant its flag around the world is less than ideal on many fronts. The model seems to assume that the U.S. university system is superior to, and hence can replace local centers of knowledge creation. Likewise, the funding required to set up and maintain this model is not sustainable. Given the fixed costs of this model, it is also hard to make course corrections to address changing institutional priorities or geopolitical conditions.

Joint Campuses

A different approach to the branch campus model is the joint campus model. A joint campus is often a campus opened abroad through a partnership with a U.S. university and a local university. These joint campuses may operate as colleges with autonomy from the partnering universities, with their own distinct faculty rosters.

These endeavors have also received mixed reviews. Supporters point to intentional partnership as creating a more level playing field than the branch campus model. Supporters also celebrate the close proximity of researchers and teachers from their local partners, leading to new forms of collaboration.

However, this model, like the branch campus model, is expensive to set up and operate. The construction of state-of-the-art buildings abroad is expensive and time consuming. These buildings make
it more difficult for partnerships to be flexible, and make it hard for universities to respond nimbly in an age where the world is changing quickly.

Beyond the physical space, detractors question what benefit a campus abroad brings to the main campus unless there is strategic exchange across both campuses. Robust exchange requires large amounts of funds be allocated for faculty and student travel between campuses if the branch campus is to remain engaged with the main campus.

*International Centers and Study Abroad Campuses*

Another model is the university center abroad—a lighter footprint than the branch campus or joint campus. These centers serve as physical regional hubs for education and research for a single U.S. university, cater across disciplines to host conferences, coordinate student internships or research, and house research centers, often with a focus on advancing collaborative research on major issues in that location. They are not typically linked to one local university partner, but rather seek to engage a range of universities and governments, corporations, and other institutions in the region. They aim to promote the university’s presence and brand in the location, development and alumni engagement, and regional recruitment. In some cases they also host exchange programs or aspects of study abroad programs. Having real estate abroad like these centers surely serves some purpose, though these international centers may still act as outposts of the U.S. university, rather than as fully integrated part of the local community or the main campus.

*University Globalization - Phase 3: Bringing Universities Together*

*Collaboration Networks and Consortia*

In a departure from physically co-locating U.S. universities with an international counterpart, some universities are pursuing a strategy of building a network of collaborators abroad to form a consortium of international institutions. These often take the form of addressing specific research or education themes.

The Yale InterAsia Initiative brings together institutions based in Germany, Hong Kong, Korea, and Singapore to collaborate on cross-regional and trans-regional research themes. Their activities take a number of forms—physical conferences at member institutions around the world, a virtual research institute bringing together experts from each school to collaborate on work that is not located at any one institution, and nodal activities that are hosted by different members of the Initiative.

The Kellogg School of Management has built an elite Global Executive MBA Network, with participating schools of management from Canada, China, Germany, Hong Kong, and Israel. This network is focused largely on educational programs and joint degrees, with Kellogg professors teaching coursework at all institutional member campuses.

These models hold much promise for the future in that they do not depend on large scale investments in physical infrastructure and because they incentivize collaborative leadership across all nodes of the network, reducing the isolation and inequalities that can flow from the campus or center models.

These existing collaboration networks and consortia tend to be fairly narrowly focused on a particular set of activities. For example, the Yale InterAsia Initiative is focused on research themes related to Asia. Likewise, the Kellogg Global EMBA Network is focused on coursework for Executive MBA students and
their professors who teach within the network. While there is much value in these examples, we wish to be more ambitious.

**University Globalization - Phase 4: A Global Alliance**

Many universities around the world are now working to build global alliances. These range from the regionally focused to the truly global, from loosely affiliated arrangements to closely collaborative relationships involving major strategic commitments, and from partnerships that engage large swaths of the university community to partnerships that engage very small, curated rosters. Most alliances are focused on either collaborative research activity or student mobility for educational exchange, although in some cases, alliances attempt to do both.

**Comparative Analysis: Global Alliance Models**

The following comparative analysis examines existing peer models of university alliances through the lens of their membership, activities, research priorities, teaching and learning opportunities, and governance structures.

**Alliance Model Types**

*Regional University Alliances*

Several dozen regional university associations exist for the purpose of coordinating research agendas, establishing educational collaborations, or sharing resources. Northwestern is a member of the Big Ten Academic Alliance (14 members), the Universities Research Association (90) and the Association of American Universities (60). Some associations are focused more narrowly within a particular region—for example, The Group of Eight in Australia (8), Asian Universities Alliance (15) or the International Research Universities Network (9) and League of European Research Universities (22) in Europe.

Recent developments in Europe are particularly noteworthy. A proposal from President Emmanuel Macron for the establishment of European university networks, with EU support, has led to the founding of several new European alliances in 2018 alone, including ARQUS European University Alliance (6), European University Alliance ‘4EU’ (4), and UNA Europa (6). All of these alliances will remain intentionally small and appear to be highly structured and dynamic. All place an emphasis on multilingual education and research.

Building on these successes, the European Union has just completed its first call for participation in its European Universities Initiative, designed for ‘...strengthening strategic partnerships across the EU between higher education institutions and encouraging the emergence by 2024 of some twenty ‘European Universities’, consisting in bottom-up networks of universities across the EU which will enable students to obtain a degree by combining studies in several EU countries and contribute to the international competitiveness of European universities’. In this first of two calls for 2019, 17 European Universities involving 114 higher education institutions from 24 Member States were selected to develop and test models for enhancing transnational higher education.

According to the European Commission, ‘European Universities’ are transnational alliances that will 1) include partners from all types of higher education institutions and cover a broad geographic scope across Europe, 2) based upon a co-envisioned long-term strategy focused on sustainability, excellence and European values, 3) offer student-centered curricula jointly delivered across inter-university
campuses, where a diverse student bodies can build their own programs and experience mobility at all levels of study, and 4) adopt a challenge-based approach according to which students, academics and external partners can cooperate in inter-disciplinary teams to tackle the biggest issues facing Europe today. Each alliance is composed on an average of seven higher education institutions from all parts of Europe, leading to new partnerships.

Global University Alliances

In addition to these regional alliances, there are also a handful of global university alliances involving partners across multiple continents, including Universitas 21 (29) and the Worldwide Universities Network (23), which promote collaborative research and student and faculty mobility. Other global alliances, such as the PLuS Alliance (3) between Arizona State University, Kings College London, and UNSW Sydney, or Alliance (4) between Columbia University, École Polytechnique, Sciences Po, and Paris 1 Panthéon-Sorbonne University are small, academic joint ventures. These focus on online learning, in the case of PLuS, and faculty and student mobility.

A small subset of these global university alliances feature deep, multifaceted forms of collaboration—curated partnerships, multilingual activity, serving a global constituency, fostering learning abroad opportunities, promoting collaborative research, and forming industry partnerships. Models include the Matariki Network of Universities (7), the International Alliance of Research Universities (11), and The University Global Partnership Network (4).

Global Alliances with a Specific Thematic or Regional Focus

Some global alliances are not intended to engage the whole of the university but rather are focused on a specific theme or on research involving a specific region of the world. Examples include the InterAsia Program (6), 3 Campus East Asia program (3 hosts with 7 additional partners), the Global Public Policy Network (7), and the Global Challenges University Alliance (11) among many others.

Analysis

The following examination focuses on 18 university alliances. As the primary interest was to identify useful models for Northwestern, the 18 selected for this analysis are relatively small (30 universities or less), and for the most part have a range of collaborative research activities and educational programming.

Those 18 alliances are: 3 Campus East Asia, African Research Universities Alliance (ARUA), Alliance, ARQUS European University Alliance, Asian Universities Alliance (AUA), Association of Pacific Rim Universities (APRU), European University Alliance ‘4EU, ‘Global Challenges University Alliance (GCUA), Global Public Policy Network (GPPN), InterAsia Program, International Alliance of Research Universities (IARU), League of European Research Universities (LERU), Matariki Network of Universities (MNU), PLuS Alliance, UNA Europa, Universitas 21, The University Global Partnership Network (UGPN), and Worldwide Universities Network (WUN).

It should be noted that of these 18 alliances, few include low- and middle- income countries. Our aim is to partner with universities in the Global South as well as the Global North, and hence further research is required to determine how best to address the particular challenge of partnership in conditions of global economic inequality.
Membership

Of the 143 universities represented in the 18 alliances considered, 39 universities participate in two or more alliances. The table below represents the universities belonging to more than one alliance, with five belonging to three or more. Note: only 16 alliances are represented in the following table because two of the alliances that were analyzed do not share membership across the dataset.

University regions are color-coded, with Africa in orange, the Americas in gray, Asia in green, Europe in yellow, and Oceania in blue. The alliances are color-coded, with regional alliances in green and global alliances in yellow. As this chart demonstrates, the alliance model is already well-established in Asia, where the globalization of universities is occurring at the fastest pace, and in Europe. The model remains relatively new in the United States.
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<th>Activities</th>
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<td>University alliances typically center on collaborative research and teaching and learning opportunities, as well as on sharing best practices and innovations. Collaborative research tends to focus on bringing</td>
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scholars together from partner institutions to work on grand global challenges, through programs that provide seed funding for collaborative research and training projects, through policy and industry engagement, through regular conferences and global challenges workshops, and through virtual research connections (such as InterAsia Program’s Transregional Virtual Research Institute).

Teaching and learning opportunities include inter-campus mobility for students, faculty and university staff, shared initiatives for global engagement and civic engagement, course integration, multilingual courses and degree programs, leadership development training, dual degree programs, doctoral training, visiting professorship programs, and global internship programs.

Research Priorities

All of the alliances in our sample, with the sole exception of 3 Campus East Asia, express a commitment to collaborative research. Nine of the 18 university alliances have publicly-available, articulated research priorities. Research priorities shared by two or more alliances are indicated in the table below, in descending order from most common to least common.

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* Research priorities include those named above and sub-themes as follows: Sustainable Cities (Urbanization & Habitable Cities/Sustainable Urban Development/Campus Sustainability/Producing a Smarter Planet); Global Health (Non-Communicable Diseases/Delivering Global Health & Wellbeing); Immigration & Mobility (Labor Mobility/Mobility & Challenges to Human Security); Climate Change (Climate & Development/Responding to Climate Change); Security and Insecurity (Cyber Security/Regional Perspectives on Global Security/Risk Studies); Employment & Economic Development (Unemployment & Skills Development/Entrepreneurship & Economic Development/Artificial Intelligence & the Future of Work); Digital Innovation & Applications (Responsible Innovation of Advanced Technologies/Digital Economy); Energy (Bio-Energy); Peace and Conflict (Post-Conflict Societies); Population Aging (Aging, Longevity and Health); Understanding Cultures (Culture and Citizenship: Towards a Civic Pluralism); Oceans (Oceans and the Blue Economy/The Pacific Ocean)

Other research priorities include: Natural Hazards & Disaster Risk Reduction (APRU); Women in Leadership (APRU); Materials, Energy & Nanotechnology (ARUA); Water (ARUA); Notions of Identity (ARUA); Good Governance (ARUA); Religious Networks (InterAsia Program) Old Histories/New
Geographies (InterAsia Program); Brain and Mind: Integrative Neuroscience (MNU); Quantum Science (MNU); Global Higher Education and Research (WUN).

Teaching & Learning Opportunities

Examples of graduate and undergraduate global learning opportunities available through university alliances include:

Graduate

- *Worldwide Universities Network*’s Research Mobility Programme provides opportunities for early-career researchers, including postgraduate and postdoctoral students, to gain specialized experience in an international context, and to broaden their professional networks.
- *Global Public Policy Network*’s partner schools have developed dual degree programs in which students spend the two years of their master’s courses at two different participating schools.
- *International Alliance of Research Universities* organizes a Graduate Student Conference (GSC) every two years. GSC enables participants to explore collaborative partnerships with fellow graduate students from other IARU universities in their areas of scholarly investigations.
- *Global Challenges University Alliance*’s Global Challenges Summer Schools for MSc/PhD students aim to train the young bio-economy leaders of the future and provide them with an active global network very early in their careers. These young PhDs obtain unique information in their fields of interest and enter into joint projects with their global peers.
- *InterAsia Program*’s Transregional Research Junior Scholar Fellowship supports junior scholars (up to five years out of the PhD) as they complete first books or undertake second projects. In addition to funding research, the fellowships create networks and shared resources that support fellows well beyond the award period, providing promising scholars important support at critical junctures in their careers.

Undergraduate

- *The Asian Universities Alliance*’s Overseas Study Program brings together students of similar academic interests to participate in an intensive short-term course. The program aims to broaden students’ knowledge about a subject and help students gain valuable insights from exchanging academic ideas with peers and professors of different countries.
- *Matariki Network of Universities*’ Global Citizenship Programme aims to understand the needs of global citizenship and educate global citizens. The Programme serves as an umbrella for a variety of multi-institutional activities in education, research and engagement, and aims to involve people and activities both inside and outside the university.
- *Alliance* offers 15 international dual degrees and joint programs (BA, MA, MS, PhD) in a variety of disciplines, including Art History, International and Public Affairs, Journalism, Sustainable Development, Political Science, Law, and Engineering.
- *International Alliance of Research Universities* offers a suite of special courses hosted at IARU universities which enable students to develop a global perspective and discuss critical issues from a multinational and multidisciplinary point of view. IARU’s Global Internship Program also provides students with the opportunity to gain international work experience by tackling a project at another IARU partner university.
- *3 Campus East Asia* is a learning abroad program in which a cohort of students from all partner institutions begins coursework in Tokyo at Keio University with a focus on Japanese Studies, and then move together to Seoul at Yonsei University, where students study Korean modernization,
and finish the year in Hong Kong, where they study the Political Economy of Global Asia. All participating students are provided with an internship opportunity outside their home country and with special mentoring. The aim is to build a cohort of next generation regional leaders as well as to provide a unique educational opportunity.

- **UNA Europa** partners are designing bachelor’s and master’s programs in several languages in which digital educational techniques will play a central part. This alliance is also working on shared doctoral trainings and undergraduate student mobility.

**Governance**

Some university alliances are governed by an executive committee composed of university presidents or chief executives, usually with a rotating presidency, which set objectives and have oversight of the work of the network. **APRU, AUA, Alliance, Universitas21, and WUN** are all examples of presidents-led alliances.

- **Universitas21** also involves provosts in a management team that oversees the strategic direction of the network and overall coherence of the network’s projects, a director of operations, who has responsibility for all operational matters, and a secretariat which is the main point of reference for members in all aspects of the network’s activities.
- In the case of **Alliance**, in addition to presidents, the executive committee includes the French Ambassador to the U.S. and other deputies, and takes advice from a scientific committee composed of university leaders responsible for research and graduate studies.
- At **WUN**, the Board of Directors is comprised of the presidents, vice-chancellors or rectors of the member universities and an executive director. The Board sets the strategic direction and vision of the network and its culture, values, and membership. Secretarial and financial management services are provided by specialists from the University of Leeds, which is the registered office of the **WUN**. Additionally, an academic advisory group is responsible for overseeing the academic portfolio of the network and advising the Board on strategic direction.

Other alliances employ governance models that do not involve university presidents. Examples of these governance structures include:

- **ARUA**: Board of Directors is made up of the vice chancellors of member universities, a portion of whom constitute an executive committee. The Secretary-General of the Alliance manages the affairs on a day-to-day basis.
- **InterAsia Program**: A steering committee is composed of staff and faculty from all partner institutions.
- **PLuS Alliance**: Leadership provided by an executive committee with 3 representatives from each partner university, an advisory board with business and government leaders, and a management team with staff at each partner university.
- **MNU**: The Secretariat, which is hosted by Durham University, provides coordination and oversight of all activities. Each member institution nominates a central coordinator to serve as the main contact point for network initiatives in their respective institutions and to act as a liaison point between their institution and the secretariat.

**Strengths and Limitations**

Each alliance has established a set of goals designed to be transformational for member institutions and the global constituencies they serve. Examples of goals include:
• Increased capacity for multidisciplinary, multinational, and multilingual research collaboration;
• Improved exchange of expertise;
• Enhanced ability to overcome barriers that prevent free exchange of ideas and resources;
• Increased access to grants from governments, foundations, and corporations;
• Ability to better meet demands from faculty and students;
• Strengthened relationships with foreign organizations and governments, because of a deeper association than most international consortia, and
• Increased capacity to practically address challenges.

Some examples demonstrate the positive impact of strengthened collaborative capacities through alliance structure:

• To help create the next generation of leaders and problem-solvers around the Pacific Rim, APRU hosted a summer 2019 program bringing together 52 undergraduate from 28 universities to develop solutions for three intertwined social dilemmas: environmental degradation, public health, and social inequality. Working with faculty and community-based organization through an interdisciplinary and experiential approach, students developed proposal for solutions to real-world problems, culminating in a pitch competition for implementation funding.

• Locally, Northwestern is already testing this model on a small scale and demonstrated proof of concept through interdisciplinary partnership models such as the French Interdisciplinary Group (FIG). FIG works across humanities, social sciences, and experimental and theoretical sciences to support research, exchanges, funding development, and knowledge sharing with select French partner institutions. It is an inspiring example of faculty-led efforts that can be scaled up and enhanced among a wider set of international universities.

In practice, it is important to recognize also that external alliances have faced challenges or barriers to success. These include technology challenges, time zone differences, travel fatigue, concerns over claims of “educational imperialism,” regulatory constraints, academic freedom concerns, and governance and financial issues. While publicly available information is limited beyond research publications, events, and news pieces, there is clear opportunity to reach out and draw insights from the experiences of comparable international alliances. However, despite these challenges, it is clear that the alliance model represents the current state of the art in university globalization.
PART 2: A Global Alliance for Northwestern

Northwestern’s partnership model must be built on the basis of clear objectives and well-defined expanded benefits. It requires a comprehensive and coordinated strategic approach that anticipates and addresses possible challenges and road blocks as they arise. The creation of a Global Alliance, as detailed below, is a strategic opportunity for Northwestern University to fulfill its global mission.

Elements of the Global Alliance

Alliance universities commit to collaborative research, teaching, and learning and to supporting the movement of faculty, students, and stakeholders; reducing barriers to global engagement; and expanding resource sharing. In practice, this means:

Collaborative Research Rotation

Global Alliance partners will support the purposeful movement of faculty, graduate researchers, undergraduates, staff, and local thought leaders to partner campuses. Visitors from partner institutions contribute to the university’s learning, research, and engagement initiatives. Rotation among global alliance partners includes:

Faculty Rotation – Alliance partners invite faculty from other global partner institutions to teach and conduct research, as a means of tapping expertise in needed areas. Faculty rotations also create opportunities for members of Working Groups (see below) to work together in a more intensive setting periodically over the course of a two-year or more engagement.

Graduate and Post-Doctoral Fellow Research Rotation – Graduate students and post-doctoral fellows drawn from Northwestern and partner universities will have opportunity conduct research with partner institutions on key research themes prioritized by the Alliance.

Undergraduate Opportunities – Undergraduates will have opportunities to enroll in study abroad, conduct research, and participate in internships at Global Alliance universities. In addition to these offerings, students will have opportunities for orientation and support for working group research projects, participating in local program activities and affiliate/member outreach, and engaging in global collaboration activities.

Practitioner & Stakeholder Participation – The Alliance will support short-term exchange visits by practitioners and community-based stakeholders (individuals and groups representing civil society, non-governmental organizations, government, business, the arts, etc.) who are active in a Global Working Group to ensure diverse contributions from outside of academia and to enhance opportunity for effective action on global challenges.

Multilateral Collaborative Research and Engagement

The Global Alliance will serve as a platform for the development of multilateral relationships for generation of new ideas, innovative research and clinical collaboration, and inclusive engagement with communities and end users. This will operate through three primary program areas:
Local Idea Generation – Member institutions will bring together diverse participants from academia, civil society, government, and the arts to identify critical global challenges and propose responsive solutions. Outreach to practitioner organizations and community stakeholders for participation in idea incubation activities will help ensure solutions proposed are inclusive and relevant.

Global Idea Generation – In parallel to local idea generation, the Global Alliance will create regular opportunity for faculty and students from member institutions to come together with practitioners, experts, and communities from across the globe to map complex global problems and collaboratively propose opportunities for research and active response. This will operate through both in person gatherings and digital engagement.

Working Groups – Quality proposals for research and action that emerge from local and global idea generation activities and clearly include strategies with the greatest potential to impact global challenges will be selected for ongoing support from Global Alliance universities. This collaborative activity will be carefully designed to produce outputs, measurable outcomes, and support ongoing relationships among Alliance universities and external individuals and organizations.

See Strategic Plan: Impactful Research for more details.

Collaborative Teaching and Learning

The Alliance structure will offer new opportunity for students to build critical leadership development skills for global collaboration. These will include:

- Creation of on-campus curricula and learning tracks on global engagement for faculty and students at Northwestern, as well as mid-career professionals co-taught via distance learning with faculty at partner institutions or taught by visiting faculty from partner institutions (see Strategic Plan: Global Learning for more information);
- Inter-Alliance university sharing on student models for idea incubation and collaborative engagement with global practitioners and community stakeholders;
- Opportunities for student exchange of ideas via digital technologies (for example, via online platforms or technologies for live engagement), and
- Joint degree programs.

Reducing Barriers to Global Engagement

The creation of the Alliance will require Northwestern to reduce or eliminate a number of key barriers. Existing, operational models exist for addressing these barriers. A large-scale, comprehensive approach to addressing barriers across Northwestern and its partners would benefit the Alliance itself, new collaborations, as well as existing bilateral relationships.

Some examples include:

- Creation of campus structures that provide housing, logistical support, and a multilingual welcoming community for high-profile, visiting global scholars
- Workarounds to differing school academic calendars
- Identifying ways of overcoming expensive health insurance requirements
- Addressing tuition differences
- Reducing prohibitive fees, expenses, and testing
• Substantially upgrading digital teaching and collaboration technologies – see Strategic Plan: Information Technology for more information
• Collection and analysis of data on existing and new programming – see Strategic Plan: Data Analytics for more information
• Addressing the needs of a multilingual teaching and learning environment – see Strategic Plan: Multilingualism for more information
• Limiting Northwestern’s carbon footprint while pursuing international connections

Some identified barriers will have to be addressed upfront to move forward effectively on implementation of the partnership model, so these will be a priority. Other barriers may be addressed over time in consultation with the Alliance partner group through adaptation of current systems, creation of new benefits, and development of incentives for collaboration. Alliance governance bodies and partner university leadership will need to make strategic investments of time and energy to ensure success in reducing barriers is an ongoing added value of the Alliance.

Expanded Resource Sharing through the Global Alliance

We envision that the Alliance will create new layers of collaboration to benefit all participating institutions and individual members. These will include:

• Shared language learning resources
• Shared use of space, including labs
• Shared libraries, library services, and collections
• Shared access to intramural and international research funding
• Shared hiring and oversight of joint faculty and staff
• Shared access to partner university networks and contacts in academia, civil society, government, and the arts
• Joint proposals for government, intergovernmental, foundation, and industry-funded research

The expansion of resource sharing in the Alliance would be based on a process of identifying existing strengths among universities, as well as how partnership could fill key gaps in existing offerings. Involvement of staff and administrative stakeholders from Alliance institutions, including librarians, facilities, development teams, and outreach units will be required. Identification of growth areas will be based on the proven success in core Alliance activities, local programming, and rotation among faculty, students, and practitioners.

Vision for Global Alliance Governance, Staffing, and Structure

Northwestern Leadership

Northwestern Roberta Buffett Institute of Global Affairs, in the Office of the Provost, is building staffing capacity to support global research and engagement activities through the Global Alliance. Central staffing will provide logistics support to Global Alliance governing bodies; maintain global participation tracking systems and support technical development; and collaborate with partner universities on fundraising and development for global activities. Key units of Northwestern Buffett, including the Global Learning Office and the Office for International Student and Scholar Services, will provide vision and operations support for components of rotation, teaching, and learning activities.
Northwestern Buffett remote staff will be maintained part-time at each of the Alliance partner institutions to serve a convening function for faculty-to-faculty interactions, investigate new opportunities for connection with all Alliance universities, support ongoing activities, maintain relationships with practitioners and next users of research/engagement outputs, convene engaged alumni, and provide language capacity for programming.

Global Alliance development will be built in close collaboration with the Office of International Relations, the Office of Research, and all Northwestern schools and units. Three governing bodies of Northwestern Buffett will be regularly consulted on Global Alliance Partnership Development:

**Global Council** - This council of senior leaders from each of Northwestern’s schools represents their unit on global programming and curricula, defining key priorities for the globalization of the university, developing and implementing policies relating to internationalization, and sharing information and coordinating initiatives among the schools. Areas of focus for the council include global learning, global safety and security, international students and scholars, global partnerships, the globalization of research initiatives, the internationalization of the curriculum, globalizing Northwestern’s engagement mission, and the development and implementation of Northwestern’s globalization strategic plan.

**Faculty Advisory Council** - The Council of 10-14 members are respected scholars engaged in global research who are energized by collaborating with colleagues across schools and disciplines. They represent the breadth of Northwestern disciplines and schools. This group will have a key role in making recommendations to the Associate Provost for Global Affairs concerning research, programs, and policies.

**Board of Advisors** – This Board, composed of external leaders with international expertise, will provide advice on governance, financial sustainability, and policies.

**Global Alliance Partner Local Staff and Leadership**

Each global partner will mount their own local governing bodies that fit within their organizational structures. Governing bodies may seek and vet proposals for new, prioritized focus areas for global collaboration activities. Partners should commit staff to Global Alliance work, including staff travel and time for onboarding and periodic training on effective Global Alliance collaboration, technology, and program details.

At a minimum, each local base of partner operations should be led by individuals or teams taking on the following responsibilities:

**Program Director(s)** – Full-time manager responsible for local staffing oversight, regional participant engagement and tracking, local planning, support for faculty/staff/practitioner exchange, communications, and local fundraising. The Program Director(s) are responsible for operational response to the policies of global governing bodies and working directly with program leadership at Northwestern (Global Collaboration director and team) and program leadership at each of the Global Alliance universities.
**Faculty Leads** – Key faculty members who serve as leaders on specific research/clinical themes for local collaboration activities, working with local university researchers and global participants. Faculty leads will also facilitate their university’s contributions to global collaboration activities in that sector.

**Global Alliance Council**

The **Global Alliance Council** (*name to be determined*) will serve as the governing mechanism for organizational development and strategy for the Global Alliance, as well as for its intellectual direction. Composed of administrator or faculty representatives from each member institution, the Council will be responsible for the development and governance of the Global Alliance.

**Intellectual Property**

As rules on ownership can vary by institution or country, agreements must be made to address outputs of Global Alliance activities. Through Global Alliance Council representatives and associated university leaders, there is opportunity to develop mutually-agreed upon terms and conditions for approval by legal counsel and leading academic officers of participating universities. The agreement should include governance of intellectual rights, taking into account how work will be created and disseminated, who holds the rights to the work, how the work will be managed, crediting of member institutions, individual contributions, anonymous contributors, staffing needs, and expenses. The Council may serve as the regular mechanism for issues arising from intellectual property decisions and a conduit to partner university governing bodies.
PART 3: Building the Global Alliance

Global Alliance Partnership Development

To ensure a long-term, stable network for Global Alliance activities, Northwestern will seek out and cultivate relationships among committed partner institutions. Partnership development activities include the creation of uniform structures, information gathering, analysis, and ongoing consultation processes to ensure that new partnerships have the highest potential for contributing to successful outcomes. Success will mean the proliferation of innovative, interdisciplinary research and community engagement that is inclusive, relevant to the global challenges of our time, and positioned to influence subsequent social action. At a high level, goals for the process of global partnership development include:

- Solidifying Northwestern’s understanding of its own existing relationships with other global partners;
- Deepening and amplifying the strengths of Northwestern research, training, and community engagement through collaboration with global partners that share matching or complementary strengths;
- Filling gaps in Northwestern’s globally engaged scholarship, whether those gaps are geographic, in particular research areas, or with regard to impact;
- Building a broad network of committed faculty leaders at Northwestern who invest energy into international collaboration as a means to globalizing research for shared social benefit;
- Identifying global partners with shared values— inclusivity, equity, global justice — and a strong commitment to collaboration, community engagement, and impact, and
- Ensuring that Northwestern and its potential partners share a common vision and commitment.

Partnership Interest, Capacity, and Commitment

A comprehensive global alliance model in no way undermines existing bilateral relationships or limits the growth of new, separate initiatives that could emerge through faculty-driven engagement with global universities. Northwestern recognizes that it has both long standing, active partnerships in existence with universities around the world, as well as untapped opportunities for partnership with global universities. In addition, global universities with interest in engagement may wish to participate in Global Alliance governance, research, and community engagement at varying levels.

Participation levels can range from a full member university of the Global Alliance committed to phased participation in a wide number of collaborative programs to an international university, school, or unit with expressed interest in exploring assets and opportunities for pilot collaboration with Global Alliance universities. International universities which are affiliated with the Global Alliance can become full member institutions when they commit to leadership in governance and supporting research and engagement activities with funding and dedicated staffing.

With the inauguration of the Global Alliance, participation levels will be more concretely articulated in both policy and practice. The following chart details prospective partnership levels and associated activities:
Northwestern will focus the bulk of its initial partnership development work on the establishment of full Global Alliance partners, building on evidence of strong existing relationships, the interest of Northwestern faculty and staff, and global university interest in strategic partnership. In addition, to foster growth of new faculty-to-faculty research collaborations, Northwestern Buffett will operate a small grants program that will offer seed money to faculty who propose, operate, and meaningfully report on new partnership activities with pilot or collaborating universities.

To ensure diversity of viewpoints and experience in Global Alliance research and global engagement activities, Northwestern will also seek partnership with external organizations that operate in one or more countries and share common goals. A Global Alliance-affiliated Practitioner Organization will be one that commits to long term collaboration with Alliance universities or working groups for research engagement, translation of scholarship into effective action or direct implementation of action steps on identified global challenges, community engagement, advocacy work, and/or evaluation. A Collaborating Practitioner Organization will be one that participates, through its members or staff, in Global Alliance activities and events based on common interest in key research or community engagement themes.
Phases of Alliance Partnership Development

In **Phase 1** of partnership development, an initial group of global partners will be invited by the Northwestern University Office of the Provost to join the Alliance after a process of identification, information sharing, consultation, and evaluation based on a set of common criteria. Once a core group of approximately 2-3 global partners have joined the Alliance, **Phase 2** partnership development will commence through the governance of the Global Alliance Council. Existing Alliance partners will share details on their networks, give input and ideas on the unique contributions of prospective alliance partners, and help ensure inclusivity, global balance, and prevalence of “common ground” research and action interests.

**Phase 1 Global Alliance Partnership Development**

**Information Exchange** –
Northwestern Buffett is conducting a process of information exchange with the Northwestern community and potential partners to get wide input on partnership potential.

- **Northwestern Faculty and Administrators** –
  - Dialogues with faculty and staff on existing programs and relationships with global universities/partners via interdisciplinary faculty lunches (series launched in February 2019)
  - Facilitate knowledge sharing among existing programs and spark new opportunities and ongoing feedback for inter-school and inter-university collaborations via open invitation to a Basecamp online exchange platform and meetings
  - Systematically gather data from faculty on priority research areas for global collaboration and input on faculty priorities for engagement for future research and action with a prospective partner via group survey, online discussion threads, and direct consultation

- **Prospective Global Alliance Partner** –
  - Discuss Northwestern’s goals for collaboration and the commitments of membership in the Global Alliance
  - Review benefits, risks, barriers, timelines, and sustainability needs for the prospective partnership
  - Systematically gather input on the university’s priorities for engagement for future research and action with Northwestern and other universities and partners in the Global Alliance.

**Analysis and Proposal** –
Northwestern Buffett will conduct a comparative analysis of prospective partners against universal partnership evaluation criteria. These will include, at a minimum:

- Alignment with NU’s mission and globalization strategic plan
- Strength of existing relationships and programs with a potential alliance partner
- Strength of prospective faculty-led relationships and programs with the Northwestern community and the global university
- Readiness for participation among the leadership, faculty, and units of the potential partner
- Scope of mutual benefit, if successful
- Sustainability of proposed collaboration agreements and resources
• Location, academic standing, reputation, and regulatory considerations

Northwestern Buffett will also work with the prospective Global Alliance partners to outline overarching priorities for both short- and long-term program development, timelines, and outcomes.

Consultation –
While the case for a prospective partner develops, Northwestern Buffett will offer updates for review, input, and feedback from University Leadership, the Faculty Advisory Committee and Global Council.

Election and Confirmation –
Phase 1 global partnerships will be formalized through bilateral MOU agreements and annual project agreements. The approval and inclusion of new Global Alliance partners will be celebrated and launched. An inaugural meeting of the Global Alliance Council will be held.

Phase 2 Global Alliance Partnership Development

With the launch of the Global Alliance Council, a new phase of partnership development begins. Key goals for the Global Alliance Council will be:
• Creation of a structure for multilateral MOUs that support the operation and financing of the Global Alliance activities, including faculty, student, and practitioner rotation, barriers reduction, and resource sharing
• Establishment of clear definitions and expectations of Global Alliance partnerships, including creation of structures for varying levels of participation from global universities and practitioner organizations
• Creation of regular collective feedback and evaluation mechanisms designed to ensure that partnership activities and governance are equitable and effective
• Agreement on common branding and terminology for both governance and program activities
• Assessment of any ideal or maximum limits for the number or location of Alliance partners
• Establishment of measurable goals for network development and partner-to-partner relationship development
• Development of a process for annual evaluation of partnership maturity based on metrics of success

Global Partnership Timeline

October 2019 – December 2020
• Identification and agreement with 2 or more Global Alliance partners
• Engagement with partners on funding structures and intellectual property; bilateral MOU finalization
• Renewed/foundational development of global governance structures, namely the Global Alliance Council, in collaboration with inaugural partners
• Local hiring/staff expansion and orientation
• Local governance development for all partners
• Global membership development activities and technology improvement through digital customer relationship management system
• Impact Subcommittee engagement on integration of practitioners into research activities
• Outreach (local and global) for practitioner organizations and individuals in relation to key research areas identified by partners
• Development of local idea incubation activities at Northwestern
• Creation of first interdisciplinary local Working Groups at Northwestern
• Engagement with partners around format and planning for local idea incubation activities
• Engagement with partners on research support system for Global Working Groups
• Information gathering process/meetings across partners on barriers to global collaboration
• Facilitation of some faculty and graduate student rotation in relation to new Global Working Groups
• Initiation of discussion on undergraduate programming
• Funding development
• Assessment of growth to date and capacity for additional Global Alliance growth

2021
• Addition of 2-3 more Global Alliance partners
• Global Council work on development of multilateral MOU for support of expansion of faculty and graduate student rotation, resource sharing, undergraduate programming
• Global Council proposals for barrier reduction reviewed for agreement(s); implementation begins
• Ongoing membership development globally
• Operation of local Working Groups and ongoing idea incubation
• Collaborative, ongoing support for Global Working Groups
• Global Summit hosted by global partner; concluding pitches reviewed and groups selected for new Global Working Groups
• Funding development
• Assessment of growth to date and capacity for additional Global Alliance growth

2022 –
• Addition of 2-3 more Global Alliance partners
• Assessment of growth to date and capacity for additional Global Alliance growth

2023 –
• Addition of 2-3 more Global Alliance partners
• Assessment of growth to date and capacity for additional Global Alliance growth