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ABSTRACT
                The information mechanisms required by the National
Institute of Education (NIE) are discussed. The first section of the
paper treats these mechanisms in general terms, and deals with the
three kinds of information considered essential to NIE's research
library. The third portion of the proposal considers three
alternatives available to NIE--a branch library, an in-house library,
and a national library--and concludes that the second of these is
more appropriate. Section four presents guidelines for the
establishment of an autonomous NIE in-house research library,
discussing authorization, reporting procedures, clientele, services,
size and scope of the collection, space, staffing, and budget. The
final major portion of the paper offers guidelines for the
establishment of a NIE archival collection and a brief concluding
section discusses some procedures for accessing library and archival
services and resources during NIE's interim organization. (PB)

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The Library of the National
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THE LIBRARY

OF THE

NATIONAL INSTITUTE OF EDUCATION

A PROPOSAL

(First Draft)

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Introduction

The National Institute of Education (NIE) proposed by President Nixon in

his March 3, 1970 Message to Congress on Educational Reform is being estab-

lished for the purpose of reforming and restructuring education in this

country. The legislation mandates that NIE will be self sufficent agency

under the Department of Health, Education, and Welfare (HEW) committed to

(1) solving or alleviating the problems of American education (2) advancing

the practice of education. (3) strenghthening the scientific and technical

foundations of education and (4) building an effective educational research

and development system.

As a self sufficient agency committed to the goals outlined above,

the NIE must be endowed with a wide array of supportive functions. A vital

supportive function for NIE will be that of information services. The

fact that NIE will commence operation with a staff of 350 to include a

number of top flight researchers engaged in inhouse research makes it im-

perative that the NIE develop a strong information services network.

To date little planning has been directed to the area of information

services for NIE and the mechanisms to be developed in addressing this

issue. This paper will focus on the information mechanisms needed by NIE

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and will establish guidelines for the creation of two information mechanisms

essential to NIE's operation - a research library and an archival collection.

The paper is divided into the following sections:

   (1) NIE information mechanisms and their proper location in the
       organization

   (2) Rationale for the creation of an NIE research library

   (3) Alternatives available to NIE in the development of a
       research library

   (4) Guidelines for the establishment of an autonomous NIE in-house
       research library

   (5) Guidelines for the establishment of an archival collection for
       NIE

   (6) Procedures for accessing library and archival services and
       resources during NIE's interim organization

(1) <u>NIE Information mechanisms and their proper location in the organization.</u>

The kinds of information required by NIE staff and researchers fall into 3 main categories. First NIE must have a central clearinghouse for current information on all education related projects supported by other Federal agencies and by non government institutions. ERIC and the ERC which are being transferred to NIE will be a primary sources for information of this nature. Secondly, NIE staff will need access to a comprehensive and ever increasing selection of publications and journals pertaining the study of education and other related fields. To effectively mee this need, NIE must establish an in house research library. Lastly, in the area of information services, NIE staff will require access to all data resulting from NIE supported activities. Therefore an archival collection with procedures for the collection, storage and retrieval of all NIE documents produced in house and under contract must be maintained.

To maximize efficiency and to promote coordination, of information services and resources the information mechanisms outlined above, must be centralized within the agency. It will therefore be essential that NIE established an Information Services Center encompassing Educational reference Center (ERC) and Educational Information Resources Center (ERIC),

a research library; and an archival collection. Careful consideration must

be given to the location of the Information Services Center of the NIE.

For reasons that will be elaborated on later (in the context of reporting

procedures for the NIE library), it is recommended that the Information

Services Center report to either of the two Divisions of the agency most

involved in research, i.e. the Division of Resources or the Planning and

Evaluation Unit. A more acceptable alternative would be the creation of

a separate Dissemination Division which would include the Information

Services Center. The Information Services Center should not under any

circumstances report to the Administrative Services Division of NIE.

As mentioned above, an essential component of the INformation Services Center of NIE will be the library. To justify the creation of an NIE library it is first necessary to show that demands for its resources and services warrant its establishment. It is, therefore, essential to determine who will constitute the library's users and what benefits a library can provide to these users.

According to a document prepared by the Special Libraries Association entitled Special Libaries: A Guide for Management it is recommended "that any organization, research group or firm with thirty or more professionals can well justify establishing a library". (Strable, p.47). At its inception the NIE will have a staff of 350 people, approximately half of whom will be professionals. Included in this group will be many top level researchers engaged in in-house activities. It can safely be assumed that of the 175 professionals, many of whom will be involved in actual research, a large number will at some time or another need access to the kinds of information that can be provided by a library. For those who are engaged in day to day research, the resources and services of a library will essential. To quote again from the S.L.A. report "a potential library user is anyone whose job performance depends on keeping up with new

developments reported in print, avoiding duplication or research effort

and expenditures, or making use of others' experience in planning work and

improving organizational performance." (Strable, p.47) Based on this

statement, it would not be presumptuous to assert that NIE must have

a library if it is to support the efforts of its professional staff.

To determine what benefits an NIE library can offer to its users, the

methods to be used by NIE in realizing its mandate must be analyzed

in light of how a library can foster their application.

To realize its mandate the NIE will (1) Conduct educational research

(2) collect and disseminate the findings of educational research (3)

train educational researchers (4) promote the coordination of this re-

search with the federal government and (5) provide financial assistance

to individuals and institutions in order to promote research, dissemination

and training in the field of education.   An NIE library will provide

support to NIE in the performance of all the above tasks with the exception

of (5).

To conduct research NIE staff will require prompt access to information

relating to past and current theory and practice in the field of education,

s well as, in those areas of the social and hard sciences which have impact

on education. The library collection and, more importantly, the

services of a library (literature searches, bibliographies, annotated

periodical and acquisition's lists; reference services, etc.) will foster

and facilitate NIE endeavors in the area of research.

A library will also provide a mechanism for collecting and disseminating

the findings of educational research. As a central source for information

on current developments in the field, a main function of the library will be

that of data collection. To the extent that NIE is willing and seeks to

make the resources and services of the library available to researchers

and practitioners in the field, the library will serve as a channel for the

dissemination and diffusion of educational information.

If NIE is to succeed in coordinating educational research within the

Federal government, a central source for information on what is and has

been done in the field and the successes and failures of these efforts

must be available to the staff of other Federal agencies. A library

will, through its services and collection, promote NIE endeavors in this

domain.

Lastly, through its services and resources, a library can provide young

researchers with the tools necessary in learning to do quality research,

and thereby support NIE in its efforts to train educational researchers.

The fact that a large number of NIE's profesional staff will be

engaged in activities which will require access to the services

and resources of a library justifies the establishment of an NIE library.

(3) Alternatives available to NIE in the development of an research library

Prior to writing this paper a number of libraries in the Washington

area and elsewhere were visited and their directors interviewed. Included

in these visits were the following HEW Department Library, the Office of

Education (OE) Branch library, the Library of Congress, the Education and

Public Welfare Division of the Legislative Reference Service of the Library

of Congress, the National Education Association of the United States (NEA)

Library, the Center for Urban Education (CUE) library, the National Insti-

tutions of Health (NIH) in house research library, the National Library of

Medicine, National Library of Medicine (NLM) and the National Archives.

The purpose of the visits were two-fold: (1) to discover basic facts about

the collections such as size, scope, clientele, budget and space consid-

erations, and staffing patterns and (2) to ascertain what services and

what levels of service these libraries provide to their clientele and what

information services they could provide to NIE staff.

As a result of these visits two conclusions were reached: (1) several

of these libraries contain valuable resources and services which will be

available to NIE staff and (2) NIE cannot depend exclusively on these

libraries for its library needs. Consequently it has been determined that

the NIE must establish its own research library with those services and

resources which correspond to NIE staff needs.

As an agency reporting to the Department of Health, Education, and

Welfare (HEW), the NIE will be afforded with those privileges provided by

the Department to other agencies under its jurisdiction. The NIE therefore,

like other HEW agencies, is empowered to establish its own library. In

planning for an NIE library it is perhaps best to compare how various

other HEW agencies have accessed library resources and services and which

of these best suit the library needs of NIE. There are three types of HEW

agency libraries:

> (a) the branch library (represented here is the OE branch collection)
>
> (b) the in-house research library (represented here by the NIH
>   autonomous in house research library
>
> (c) the National library (represented here by the National Library
>   of Medicine)

a. Branch library.

The Office of Education (OE) Branch Library is typical of the branch

library model. Created in 1964, the OE Branch is located under the juris-

diction of the HEW Department Library and is dependent on this library for

s resources and services. It was never intended that the OE Branch

would function as the OE's research library. It was in fact assumed

that the OE staff in need of research materials and reference services

could always utilize the Department library located across the street.

The main function of the OE Branch is to provide the OE staff with

a collection of the most commonly used reference tools (dictionaries,

directories, encyclopedias, guides to the literature, etc.), a wide

range of the most frequently sought after educational periodical (150

titles), and a rotating selection of the latest publications in the

field of education. The OE Branch also houses the complete ERIC micro-

fiche collection. The OE Branch never contains more than 800 titles

on its shelves at one time; new books are constantly added as other

books are withdrawn and returned to the Department Library.

All selection, procurement, and processing of books slated for the

OE Branch is carried out in the HEW Department Library. Requests for

books not available in the Branch are directed to the HEW Department

Library. The OE Branch has two staff members; a librarian (not an

education specialist) who reports to the Department Library administra-

tion and an ERIC representative who handles the ERIC collection repre-

sentative who handles the ERIC collection and reader services and reports

to the head of ERIC.

Each year OE allocates a sum of money - $20,000 for FY 1972 - to

the HEW Department Library for purchase of educational materials. Most

of the materials purchased with these funds are deposited in the HEW

Department Library; the rest are housed in the OE Branch. OE Branch

operating costs, such as the OE librarian's salary and the equipment

costs are borne by the HEW Department Library.

The disadvantages associated with the OE Branch operation are numer-

ous. Many of these result from the fact that the Branch is dependent

on the Department Library for so many of its resources and services.

Lenghthy procurement and slow processing procedures used by the HEW

Department Library often result in a six to ten week delay before a new

publication is available for circulation in the Branch. Should a re-

quested item be in great demand, it may be several more weeks or even

months before an interested party can access it. Some years the Depart-

ment Library does not receive its annual appropriations until six months

after the beginning of the fiscal year, during which time all purchasing

comes to a halt. The OE Branch, dependent on the Department Library

for materials, is unable to access new materials during these periods.

The Department Library offers an interlibrary loan service to its

branches, however, the advantages of this service are minimized by the

long delay, often three weeks or more, involved in obtaining publica-

tions from other libraries.

Another short coming in the operation of the OE Branch is the fact

that the two people who work in the Branch report to different auth+or-

ities. There is therefore no coordination of effort; the librarian

handles the library collection and the ERIC representative handles the

ERIC materials. They do not in any way work as a team to provide coor-

dinated service.

It is quite obvious from the analysis of the OE Branch operations,

that such a library could not begin to meet the information needs of the

NIE staff. The NIE library must be able to establish those policies

and a collection which will enable it to adequately serve the Institute.

b. In-house research library.

The National Institutes of Health (NIH) library, which exemplifies

the in-house research library model (the most common type of HEW agency

library) will be analyzed in this section. The NIH research library was

established in 1903 as the Hygenic Laboratory Library and was officially

designated the NIH research library in 1936 (the year the NIH came into

existence). This library is autonomous in the sense that it does not

report to the HEW Department Library or any division outside the NIH. The NIH library is located within the Division of Research Services, a line division under the NIH Director. The library has a collection of 100,000 volumes (70,000 periodical volumes and 30,000 books) which never exceeds this number. The intention of this library is to provide an up-to-date working collection; the library contains very little material published prior to 1960. To insure that the collection is kept current and relevant, each year 5,000 old volumes are weeded out as 5,000 new volumes are added, a yearly turnover of 1/6th of the collection. At present the library is receiving some 3,300 current journal titles in the biomedical, health sciences, and other related fields. To supplement the collection there is heavy emphasis on interlibrary loan. Although the library is open to the public for research purposes, the library services are limited to the 11,000 NIH staff members. The library is manned by a staff of 25 professional and 38 support personnel (a total of 63).

The most appropriate word that can be used to describe this library operation is service. The library's main goal is to provide rapid information service to its clientele. The library staff has at its disposal several mechanisms to facilitate its efforts. MEDLARS (Medical Litera-
ture Analysis and Retrieval System) is a very sophisticated computer bib-

liographic retrieval system and MEDLINE is a less sophisticated com-

puter retrieval system using remote terminals which can be connected

to telephones. These two systems are used for doing literature searches

and compiling bibliographies. On request the library photoduplicating

service will suppliy copies of any articles or items cited. Last year

over one million photoduplicated pages were provided to the NIH staff.

The effectiveness and efficiency of the NIH library operation can

be attributed to the support and cooperation which it receives from

the Division of Research Services and the NIH community at large.

Instead of acting in the capacity of watchdog for library operations,

the Division of Research Services promotes library endeavors by acting

as liaison between the library staff, NIH researchers, and other staff.

The Division keeps the library informed of NIH programs and future

activities thus enabling the library to anticipate the needs of its

users. The Division, abreast of library activities and requirements,

supports that library by providing it with the staff and budget essen-

tial to its operation.

The major obstacles to establishing a library of this caliber are

those of budget and space. The total yearly allocation for the NIH

library is approximately $880,000. This includes $65,000 for book acqui-

sitions, $115,000 for periodical acquisitions, and $700,000 for payroll.

The floor space required to house the library is 39 thousand square

feet, one half of which is stack space and one half of which is office

space and reading area. The excellence of the services and resources

afforded by this library render it an indispensable part of the whole

NIH operation and well worth the expenditures and space sacrifices

necessary for its mantenance.

c. National library.

The third type of HEW agency library is the national library, repre-

sented in this section by the National Library of Medicine (NLM). As a

Federal library, the NLM is not in fact an HEW agency library, however, it does

reports to the NIH Director and for this reason is being treated in this

paper as an HEW agency library. The National Library of Medicine, created

at the end of the last century, was originally established as the medical

library for the Armed Forces. In 1964, through a legislative statute, the

library was designated the National Library of Medicine and was placed

under the jurisdiction of the National Insitiutes of Health. The NLM

contains 700,000 books, monographs, and bound periodicals, 600,000

theses and pamphlets, and 16,000 periodical subscriptions. The collec-

tion is growing at a rate of 6% yearly and encompasses both foreign and

domestic materials. The library is mandated to collect and catalog all

materials published in the health and medical sciences fields.) Because

of its status as the principal national medical library, most medical

publishers automatically send all materials they publish to the NLM,

(with a post-paid agreement).

The services and outreach programs of this library are aimed primarily

at the country's 2.9 million people involved in the medical and health

professions, including graduate and undergraduate students. The NLM

is staffed by 67 professional and 133 support personnel. The majority

of the professionals have medical or scientific backgrounds; "library

staff" consists of only a few professional librarians. There are 65

additional people in the Computer Sciences Division of the NLM, 15 of

whom are engaged in developing new computer technology for the library.

The NLM also maintains an audio-visual development center in Atlanta,

Georgia which is staffed by 100 people.

The NLM has two main functions: it serves as a repository for all

published medical information (worldwide) and as a disseminator medi-

cal information. Although the library does provide a wide array of on-

site services, it is primarily engaged in diffusing and disseminating

information to the medical community at large. On-site services, such

as computer literature searches and reader and reference services are

provided to anyone who visits NLM. During the past year over 30,000

people were provided with on-site information services in the library.

The NLM's main vehicle for providing ready and rapid access to infor-

mation is MEDLARS (Medical Literature Analysis and Retrieval System).

All items received by the NLM are cataloged, indexed, and stored in the

MEDLARS computer bank. The are 77 on-line MEDLARS terminals across the

country for the use of people in the medical sciences. Another mechan-

ism for disseminating medical information is MEDLINE, a less sophisticated

computer retrieval system. NLM publishes Index medicus, a monthly selec-

tive index to the world's medical literature compiled by mechanical means.

To further promote the diffusion and disemmination of health and medical

information, NLM publishes 24 recurring subject bibliographies and 26

other products (mainly indexes). All of these indexes and bibliographies

are generated by the MEDLARS computer. NLM provides funds to 10 previously

established medical libraries, both university affliated (Harvard Medical Library) and other   (New York Academy of Medicine Library). as part of its efforts to promote the dissemination and coordination of medical information. Each of these 10 regional libraries has a MEDLARS terminal and can provide services similar to those provided on-site by NLM.

The NLM has an annual budget of $22 million broken down into the following categories: 8 million for grants to universities and local medical libraries, 7 million for payroll and library operations, and 7 million for research and development contracts. Of the 7 million earmarked for staff and library operations, $400,000 is allocated for acquisition of books and periodicals.

There are major problems associated with establishing and operating a library of this magnitude. First, the NLM was created by legislative fiat. There are many political obstacles to obtaining legislative sanction for the establishment of a Federal library. A problem inherent in the NLM operation is the fact that this library is obligated to acquire or accept all published materials in the health and medical sciences, both foreign and domestic. The NLM is therefore glutted with numerous

valueless materials. It is in fact estimated that of the 16,000 per-

iodical subscriptions received by the library only 5,000 are of real

value.* Much staff time is wasted cataloging, indexing, and storing

worhtless items. As can be imagined an enormous amount of space is

required to house a collection of this magnitude, another problem to

be considered. Within five years the NLM will have outgrown its present

quarters.*

*Interview with Dr. Martin Cummings, Director or the National Library
 of Medicine.

(4) Guidelines For The Establishment Of An Autonomous In House
     House Research Library.

·From the review of the functions, services and resources offered by

the three HEW agency libraries, the model that most nearly approximates

the kind of library needed by NIE is the NIH model - the autonomous in

house research library. The services and resources of sucah a library will

provide NIE researchers and staff with ready and rapid access to informa-

tion relating to current educational theory and practice.

       Assuming that this model is acceptable to NIE, it is necessary to

specify the operational procedures of sucah a library. The operation of

the NIE library will be discussed below and will include such factors as

authorization strategy, reporting procedures, clientele to be served,

services to be provided, scope and size of collection, space considerations,

staffing pattern, and budget considerations.

a. Authorization strategy

       Before NIE can proceed with the creation of an autonomous in-house

research library, authorization for such an undertaking must be sought.

Precedence would have it that NIE seek such authorization through an ad-

ministrative order issued from the NIE Director's office. (Guide to Laws

and Regulations on Federal Libraries. p 1 and 2\ Therefore, the respon-

sibility for the establishment of the library lies within the purview of

the Director's authority. It is recommended that the urgency of this matter

be brought to the attention of the NIE Director as soon as he takes office.

b. Reporting procedures

The location of the library in the NIE organizational structure will

play a large part in determining how effectively the library can serve

the needs of NIL staff and researchers. It has been found, as in the case

of the HEW library, that a library which reports to the Office of Adminis-

tration Services of an organization often does not receive the support and

recognition necessary to carry out its responsibilities. On the other

hand, as illustrated by the NIH model which reports to the Division of

Research Services, a library which reports to that division that benefits

most from its services and resources is more apt to receive needed support

and recognition.

It is therefore recommended that the library report to either of the

two divisions of the Institute which will be most involved in doing

research - the Division of Resources or the Planning and Evaluation Unit.

Should a Division of Dissemination be created, it would be even more appro-

priate for the library, as an instrument of dissemination of information,

to be placed within this division. It should also be reiterated here that

the library should be an integral part of the Information Services Unit

along with the Educational Reference Center, ERIC, and the archival

collection. The proper location for the Information Services Unit has al-

ready been discussed (introduction) and coincides with the recommendations

made above with respect to the location of the NIE library.

c. Clientele

In addressing the question of clientele to be served, initially library

services will be directed to the needs of the in house staff. As the library

collection and staff expand, the scope of clientele and the levels of ser-

vices to be offered can be increased. It is anticipated that eventually

the NIE library will provide a number of outreach services to the educa-

tional community and other interested individuals.

d. Services to be provided
   As emphasized earlier, the NIE library will be a service oriented

organization focusing on rapid access to information for in house staff

and where possible for the education community at large. During the

developmental period staff and resource limitations will restrict library

services to in-house staff. For this period the minimum services to be

performed by the library include maintaining a comprehensive collection

of reference tools, answering relatively basic reference questions, veri-

fying titles, tracking down references, compiling and circulating listings

of newly acquired publications and relevant periodical articles, circulating

library materials and maintaining cooperative relationships with libraries

containing extensive educational collections. As the library operation

expands, services to be offered to in-house staff will be expanded to in-

clude circulation of library resources, reference services, readers advisory

services, photocopy, library orientation programs, multi-media showings,

analyzing and synthesizing research on topics of current interest to NIE

staff and book reviews.

During the developmental period of the library, the Education Refer-

ence Center will take primary responsibility for providing information

services to the education community. At such time as the library has

sufficient resources and staff, it together with ERC, will seek to provide

comprehensive information outreach services to in-house staff and outside

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individuals and institutions. The outreach services will include compiling

and distributing comprehensive subject bibliographies (annotated and

unannotated periodical article lists, annotated acquisitions lists, ERIC

literature searches, and interlibrary loan.

e. Scope and Size of Collection

In regard to scope and size, the NIE library will be a working col-

lection focusing on recent developments in the field of education. A

concerted effor will be make to match the collection to the needs of the

in-house research staff; subject orientation will be based on NIE in house

research programs. As the collection expands it will become more compre-

hensive in scope, spanning the entire spectrum of education and related

fields. The NIE library will not seek to develop a historical collec-

tion. Requested historical materials will be accessed through interlibrary

loan with the HEW Department library or other Washington area libraries.

It is estimated that a working education research library should

contain a minimum collection of at least 20,000 monographs and 1,500 journals

and serials. The growth rate of the NIE library is contingent upon budget

allocation and staff patterns. Ideally, by the end of the first year the

In addition to

collection should number sOme 3,000 monographs and 750 journals. ~~Included~~

~~in~~ this estimate are those basic reference tools such as indexing and

abstracting guides which are essential to accessing information found in

journals and other materials. From its inception, the NIE library will

house the complete ERIC microfiche collection of 60,000 documents which

is presently increasing at the rate of approximately 22,000 documents

yearly. Because of the increased relevance of multi media to educational

research and the importance of coordinating information services within

the agency, the library should assume responsibility for development and

maintenance of a comprehensive multi media collection. The growth of the

library's multi media collection will also be contingent on budget and

staffing patterns.

f. Space Considerations

   An important consideration in establishing the NIE library is that

of planning for space and equipment. In order to facilitate research

efforts the library must provide an atmosphere conducive to the work of

NIE staff and furnish the space and equipment necessary to house and

utilize the library resources. In estimating space for the library,

allowances must be made for the continually expanding nature of the library

collection. It has been projected that the library will expand into a

minumum collection of 20,000 volumes and 1,500 periodical subsciptions

with a staff of 11 within a period of five years. To house and utilize

such a collection a minumum of 5000 square feet will be required.* In-

cluded in this estimate is office space

*This estimate is based on the existing space used by the Center for
Urban Education Library, which houses a collection similar in size to
that projected for NIE, and a discussion on library space planning in
the document, Special Libraries: a guide for management. (pp. 39-41)

for staff and reading areas. Additional space will be needed to house the

multi media collection. Furniture and other equipment needed by the library

will be discussed later in the context of NIE library budget.

g. Staffing Pattern

In order to reach the proportions projected for the first year, and

to provide a minimum level of service to in house staff, the library will

require a minimum of six in staff, three professionals and three support

personnel. The professional staff will include a head librarian, an

archivist/assistant librarian and a technical services librarian (cataloguer).

A catalog clerk, a serials mail clerk, and a clerk/typist will be needed

to assist the professionals in carrying out their duties. Brief job spe-

cifications for each of the library staff are provided below.

The head librarian's main functions will be the overall administration

of library operations, supervision of library staff, development of library

systems, procedures and policies, selection and acquisition of library

materials, and maintaining communication between the library and in house

staff. The archivist/assistant librarian's main duties will be to maintain the

NIE archives collection, (Collection of all relevant material resulting

from NIE supported activities, both in house as well as extramural) will be

~~her major responsibility.~~ In addition to ~~her~~ archival duties, the assistant

librarian will aid in reader and reference services and oversee the cir-

culation operation. The technical services librarian (cataloguer) will

be responsible for the initial processing of all incoming library materials

(with the exception of periodicals), cataloguing and classifying relevant

items, developing and maintaining the card catalog, and supervising the

catalog clerk.

The catalog clerk will type and file catalog cards and perform other

duties under the direction of the technical services librarian. The serials-

mail clerk will perform such takes as processing and distributing mail,

maintaining the periodical collection, processing G.P.O. orders, and

housekeeping chores. The clerk/typist, as secretary to the head librarian,

will type stencils, process book orders, and assist in circulation and

shelving.

It is anticipated that the demand for library services to both in

house staff and the education community will increase as the agency reaches

maturity. In order to meet these demands and maintain a growing collection

the size of the library staff must be enlarged each year. By the end of

the fifth year, the NIE library must have a total of 11, five professionals

and six support personnel.

h. Budget Considerations

In order to house and utilize the collection as described both during

the first year through to the fifth year budget is the major considerations.

In most research organizations with libraries, a standard rule is that $2\frac{1}{2}\%$

of the total organizational budget be allocated to the library. There are

two types of budgets to consider. Equipment funds is the initial outlay

to establish the facilities. It includes furniture, carpeting, equipment,

and the basic reference collection. The second type of budget is the

operational budget including staff salaries, book and periodical acquisitions,

and supplies. The following charts prepared by Norman Mann, Business Manager

of the Center for Urban Education outline the estimated costs for the pro-

grams described herein. ('see next page)

Within this budget no provisions for funds have been made for the following

items: audio-visual materials, rent, and five years of back periodicals on

microfilm (the cost of this collection will be contingent upon the number

of periodicals received available on microfilm.)

Chart 1. Estimated costs of proposed THE Research Library.

Item	Year One	Year Two	Year Three	Year Four	Year Five
I. Equipment funds					
a. Furnishings*	$30,000.00	---	---	---	---
b. Equipment*	$18,000.00	$5,000.00	$5,000.00	$5,000.00	$5,000.00
c. Reference Collection Collection**	$17,000.00	---	---	---	---
	$65,000.00 ST	$5,000.00 ST	$5,000.00 ST	$5,000.00 ST	$5,000.00 ST
II. Operating Funds					
a. Personnel costs, including fringe benefits	$70,000.00	$95,000.00	$120,000.00	$150,000.00	$180,000.00
b. Acquisitions	$30,000.00	$40,000.00	$50,000.00	$65,000.00	$80,000.00
c. Supplies	$5,000.00	$5,000.00	$7,500.00	$10,000.00	$12,500.00
	$105,000.00 ST	$140,000.00 ST	$177,500.00 ST	$225,000.00 ST	$272,500.00 ST
Total budget	$170,000.00	$145,000.00	$182,500.00	$230,000.00	$277,500.00

* Assuming all new purchases.

** Includes five years of back issues.

i. National Education Library

In conclusion, it must be noted that if the NIE proves to be a viable organization, it may wish to consider establishing a National Education Library at some time in the future. Such an undertaking would of course require legislative sanction and a major planning effort on the part of a number of specialists in the fields of library organization, educational research and computer technology. The resources and services of a Federal education library could offer a valuable mechanism for dissemination and diffusion of educational information to the Education and lay community across the country.

An option which NIE might consider if it decides to set up a National Library of Education is to request that the HEW Department Library's Education Collection be transferred to this Federal library. The HEW Department Library contains one of the best collections of educational resources materials in the country and has a strong historical focus.* The fact that the HEW Department Library is understaffed and short of space should enchance NIE's prospects for implementing this plan.

*This fact was ascertained during an interview with the HEW Department Library's Education Specialist, Alice Songe

(5) Guidelines for the establishment of an archival collection for
     the NIE.

An archival collection (a collection of documents related to the

activities of an organization) will be essential to the operation of the

NIE. Two categories of documents will be entered into this collection:

those documents related to the development and internal operations of the

NIE and those documents generated through contracted programs and in-

house research. The need for historical and ongoing information about

the NIE as an organization is obvious.

There are a number of reasons for acquiring the documents generated

through contracted programs and in-house research. This collection

of materials will provide rapid access to complete information on what

programs or projects are currently in operation (contracts and proposals),

how they are proceeding (interim reports), and, eventually, what their

findings or products are (final reports). For future purposes, the archives

will provide researchers with information concerning the educational

trends followed and type of educational programs funded by the NIE and

what they accomplished. In order to allow access to the documents they

will be indexed by author(s), subject(s), and organization.

As most librarians and archivists know, it is difficult to acquire

archival documents within an organization much less from contracted programs.*

In light of this it is necessary, from the outset, to establish tight pro-

cedures for acquiring archival documents. For those programs contracted

out it should be written into the contract that the obligations of the

contractor include submitting all documents generated through the contract

to the NIE archivist. To facilitate acquiring documents generated by

in-house research projects and the internal operations of the NIE all pro-

ject directors and appropriate management personnel will be formally noti-

fied as to their obligation to forward all documents to the archivist.

It will be the responsibility of the archivist to insure that all neces-

sary documents are received.

All items will be filed in the archives by accession number. There

will be three classes of numbers - internal (I) for in-house research

documents, external (E) for contract generated documents, and organiza-

tional (N) for documents concerning NIE's development, growth, and man-

gerial operations. Once an initial document is received, for example a

contract, it will receive an accession number (E000-001). All subse-

quent documents generated through this contract will receive the same

accession number with a subletter (E000-001a) Once a completed set of

documents (all for that accession number) are received, the items will

be put on microfiche. As stated they will be accessible through indexes.

In order to maintain the integrity of the collection, ~~hard copy and~~

~~microfiche~~ while at the same time allowing maximum utilization of the

hard copy and microfiche

information stored in the archives, this collection will be treated as a

locked collection housed within the library.

(6) <u>Library needs for the Interim Organization of NIE</u>

It is anticipated that the NIE may be operational on July 1, 1972. At

its inception the NIE will have a staff of about 350 people. Location

of NIE quarters is as yet unknown.

Until the NIE Director is brought on (which may not occur until the agency

has been operational for several months) the NIE will be structured along

the lines of an interim organization designed during the planning phase.

As of yet it is not known which Interim Organization division the

Information Services Center (composed of the library, ERIC, ERC and the

archival collection) will report. It should be emphasized once again,

that if the Information Services Division is to be accorded the proper

support and recognition, it should report to the division that will

utilize its resources and services, or should be placed under a

Dissemination Division (not yet a part of the Interim Organization).

Time, space and budget limitations dictate that a contingency plan with

regard to access of library resources and services must be drawn up for

the Interim Organization. To meet the library needs of the staff during

this period, the following steps are recommended.

First, at least two professionals and two support personnel should be appointed full time to attend to library needs of the NIE staff. The responsibility for selecting materials, placing orders, answering reference questions, cataloguing old and new books and journals will fall to one of the professionals, preferably the person with the most library experience. The second professional will assume the responsibility for the NIE archival collection, performing such tasks as acquiring and indexing archival materials. In addition, this person will be given the task of obtaining interlibrary loan material. Both of these professionals should be familiar with the ERIC and ERC operations so that they can refer staff members who are in need of literature searches, bibliographies, etc. to these two well established services. In fact, the two professionals should seek to establish a close working relationship with the ERIC and ERC staff members so as to avoid duplication of effort and promote efficiency in providing information services. The two support personnel will assume responsibility for secretarial and clerical tasks, answer telephone calls, and perform such errands as picking up and returning interlibrary loan materials.

Secondly, during the Interim Organization period, those procedures which

will dictate operation of the NIE library should be developed. Procure-

ment, cataloguing, and interlibrary loan procedures should be established

at this time. Interlibrary loan services will be an essential factor in

the Interim Organization operation, because of the time involved in

building a comprehensive selection of educational materials. In other

words, the Interim Organization will have to rely primarily on the re-

sources of other Washington area libraries for its information needs. As

soon as possible, contacts should be made with other Washington area

libraries that have extensive education collections.* A problem to be

anticipated in establishing interlibrary loan is that of receprocity;

NIE should not expect to borrow books from those libraries to whom it

can not or will not (at a future date) extend the same privileges.

During the Interim Organization, the NIE library staff should also seek

to establish contacts with those publishing companies, jobbers and others

with whom it expects to do business in the future. This will facilitate

efforts to acquire books and periodicals once the library obtains funding

and becomes fully operational.

* It should be noted here that contacts have already been made
  with several Washington area libraries.

Another task for those involved in library services for the Interim

Organization is to draw up lists of reference tools, publications, and

other materials that should be included in the NIE library collection.

This will be a time consuming process as all pertinent information,

such as cost, publishing company, etc., must be collected for each item

before purchase orders can be placed.

Lastly, during the Interim Organization, definitive plans with regard

to the kinds of facilities and equipment needed by the library must

be developed.   It should be noted here that contacts have already

been made with several Washington area libraries.

In drawing up plans for library facilities and equipment, a strong case

will have to be made for an attractive, spacious library, a library

that will provide the proper setting for those involved in research

and study.

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