DOCUMENT RESUME

ED 309 785 IR 052 880

TITLE	The Report of the Management and Planning Committee to the Librarian of Congress.
INSTITUTION	Library of Congress, Washington, D.C.
PUB DATE	18 Nov 88
NOTE	304p.; Some pages have small or blurred print.
PUB TYPE	Viewpoints (120) -- Reports - Evaluative/Feasibility (142)
EDRS PRICE	MF01/PC13 Plus Postage.
DESCRIPTORS	Job Satisfaction; *Library Administration; *Library Planning; *Library Services; National Libraries; Preservation
IDENTIFIERS	*Library of Congress

ABSTRACT

This report contains the major recommendations of the Library of Congress (LC) Management and Planning (MAP) committee. The mission and values statement developed by the MAP Committee for LC precedes the main body of the report. The first of two major sections of the report includes recommendations organized into chapters according to the five elements of the Librarian of Congress's charge to the committee to find ways to: (1) increase LC's administrative efficiency and economy, including providing for greater job satisfaction for the library's staff; (2) improve methods for selecting, cataloging, preserving, and maintaining LC's collections; (3) increase and deepen the direct scholarly use of LC; (4) improve LC's service to the Congress and other government agencies, including the judicial and legal communities; and (5) broaden and rationalize LC's national library service to its external constituencies. Each chapter includes a statement of the scope of the recommendations, a summary of the key issues addressed, and a summary list of the recommendations. The second section contains 88 issue statements prepared by the MAP committee which offer more detailed analysis and background, including other options considered. (MES)

THE

REPORT OF THE

MANAGEMENT AND PLANNING COMMITTEE

TO THE

LIBRARIAN OF CONGRESS

November 18, 1988

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PREFACE

Among his first official acts as Librarian of Congress, James H. Billington initiated a comprehensive year-long management and planning review, including an internal staff Management and Planning (MAP) Committee, an external National Advisory Committee, regional forums with local library communities, and a management consultant firm which would assess the Library's capabilities and functional operations and the feasibility of implementing MAP proposals. In launching the review, the Librarian cited the opportunity that the Library's bicentennial year, 2000, presents to affirm and strengthen our mission as a dynamic national library and a vital center of ideas and scholarship. He acknowledged the many strengths of this institution and stressed that the purpose of the review was to find ways to build on those strengths and to help the Library realize the full potential of its staff and collections in serving the Congress, scholars, libraries, and the nation.

The MAP committee, which included staff from different parts and levels of the Library, with a variety of experiences, responsibilities, and interests, appreciated the opportunity to be involved in this process. During nearly 11 months of working together, we learned a great deal about other parts of the Library from our MAP colleagues and from the hundreds of other staff we met and talked with. We were struck by the dedication and achievements of the staff and, through them, the Library as a whole and realized new respect and appreciation for this remarkable institution, with its richness, variety, and complexity.

This report does not represent the conclusion of the MAP process. We were charged to produce not a product but a process. Thus, the report is a working document which we hope will be useful as a tool to stimulate thinking, generate discussion, and institutionalize a continuing process of self-examination, planning, and progress.

Special thanks, for their extraordinary efforts in producing this report on a very tight deadline, go to James McClung, who almost single-handedly organized and edited Part II and who assured the entire report was ready for printing on schedule; to Lisa Jackson, a recent graduate of the work-study program, whose speed, accuracy, and skill in interpreting changes and amendments to drafts and in manipulating the word processing equipment are exceptional; and to Sharon Baker, newly appointed work-study student, whose unflagging energy and initiative contributed so much.

INTRODUCTION

This report contains the major recommendations of the Management and Planning Committee. It takes into account ideas and suggestions received during the past 11 months from the Library's staff, members and staff of congressional committees, the National Advisory Committee, and librarians from across the country in a series of 10 regional forums with the Librarian and members of the MAP Committee.

The mission and values statement, prepared by the MAP Committee early in the process, precedes the body of the report. The issues addressed and the recommendations proposed derive from that statement.

In formulating these recommendations, we considered virtually all aspects of the Library's operations, with exclusions as noted below. Emphasis was given to concerns articulated by the Librarian in his January 1988 charge to the committee, that is, to find ways to:

I. Increase LC's administrative efficiency and economy, including providing for greater job satisfaction for the Library's staff.

II. Improve methods for selecting, cataloging, preserving, and maintaining LC's collections.

III. Increase and deepen the direct scholarly use of LC.

IV. Improve LC's service to the Congress and other government agencies, including the judicial and legal communities.

V. Broaden and rationalize LC's national library service to its external constinuencies.

The recommendations are organized into chapters, according to the five elements of the charge. Where more than one element is addressed by a recommendation, it appears under the element that was the primary impetus for making it. Each chapter includes a statement of the scope of the recommendations, a summary of the key issues addressed, and a summary list of the recommendations. There was consensus within the committee that each of the recommendations listed is important to enable the Library to achieve the vision of the Library in the Year 2000 as described by the committee. To facilitate consideration of the recommendations, we have identified those the MAP Committee feels are of high priority, as indicated by an asterisk (*). The extensive appendix contains more detailed analysis and background information, including other options considered. References are made from the summary list to the appendix.

Finally, it should be noted that we were not constrained by concerns about possible barriers to implementation, such as resource limitations or current legal and/or regulatory provisions, including obligations to bargain with the labor organizations. Where such constraints exist, they will need to be addressed in implementation planning.

EXCLUSIONS

1. Areas contracted to Arthur Young, Inc., including

a. organizational issues, with a few exceptions where reorganization is integral to the recommendation or where we indicate a general need to consider possible organizational changes;

b. dual-career tracks;

c. cost/benefit ratio of cooperative activities;

d. contracting for services;

e. financial management;

f. personnel; and

g. potential for charging fees for Library services (except the proposed National Center for Research and Analysis).

2. Organizational parts of the Library where no clear mandate for change was evidenced, for example, the National Library Service for the Blind and Physically Handicapped.

3. Funding. We did not include cost data with the recommendations except to indicate general magnitude and need to consider alternative sources where appropriate. When decisions have been made about which recommendations to implement, implementation planners will need to provide cost data.

4. Automation. The MAP Committee affirms the high priority of the modernization of the Library's major software systems already initiated by the Strategic Information Systems Plan completed in 1987 and the subsequent resystemization project begun in 1988. Because this effort to establish a Library-wide information system supports the MAP vision of a "single 'user-friendly, online system which will direct the user to material showing both locations and current availability" and also prepares the Library for a leadership position to further its library services to "coordinate a national computer network for transmitting and receiving collection content as well as bibliographical data," the MAP Committee endorses resystemization as the Library's highest automation development priority.

5. PREMARC. Plans for the upgrade and correction of the Library's online catalog for materials acquired before 1981 are well under way. The MAP committee endorses this project as a high priority.

6. Whole-book cataloging. Planning for this pilot is well under way. The MAP Committee supports this effort to explore ways to streamline the cataloging process and to improve job satisfaction.

7. Optical Disk (except as a vehicle for American Memory and as a pilot preservation project).

8. Photoduplication Service. Based on expressed concerns and suggestions, this function needs to be reviewed and its operation evaluated for cost, effectiveness, timeliness, and quality of service. This review should be conducted by an outside contractor if Arthur Young's investigations do not encompass the full range of concerns.

9. Certain specific areas which lack of time and/or lack of technical expertise did not permit us to address sufficiently:

a. internal Library communications;

b. review of the Library's position classification practices;

c. the Intern and Administrative Detail programs;

d. service to the deaf or hearing impaired; and

e. statistical reports and their analysis, presentation, and use.

THE LIBRARY OF CONGRESS IN THE YEAR 2000: A VISION

Management and Planning Committee

June 29, 1988

MISSION

"Knowledge will forever govern ignorance: and a people who mean to be their own governours, must arm themselves with the power which knowledge gives."

Madison's words contain the principle basic to the Library's obligation to the American people and their representatives. A democratic republic must foster a healthy zeal for open expression and innovative solutions. Therefore, because an informed populace and its legislature are the basis for a sound government and a vibrant society, the Library actively and aggressively supports and encourages access to and the creative use of recorded knowledge.

With its extraordinary resources, the Library is in the unique position to be both catalyst and participant in the intellectual process that transforms information into knowledge, and knowledge into wisdom. In an ever-changing, technologically complex, and issue-oriented world, the Library of Congress, the national library of the United States, supports, strengthens, and advances the intellectual and cultural foundations of American life.

The Library of Congress

--provides analysis, research, reference, and unique services in support of the Congress;

--develops, organizes, maintains, and serves collections that comprehensively document the life, history, and creativity of the American people and that extensively reflect the worldwide advancement of art and science, thought and knowledge;

--provides appropriate research, bibliographic, and information services to government and the private sector, scholars, libraries, and the general public, including blind and physically handicapped readers;

--provides leadership in programs to enhance library service throughout the country and in a national information system that coordinates the country's diverse information resources and networks; and

--promotes creativity through the protection provided by the copyright law and through other projects, programs, and alliances.

In support of its missions, the Library actively seeks public and private funding to meet its goals and to provide continuity in their execution.

VALUES

Underlying the operation of any organization are institutional values that define its culture and shape its actions. A responsibility of the Library's leadership is to communicate these values to persons within and beyond the Library and to ensure that they are understood and used appropriately.

The seven values of the Library of Congress are

--Service: The Library provides the best service feasible to its constituents and to the persons and organizations that comprise the Library itself.

--Quality: The Library provides the best quality feasible in every aspect of its activities, no matter how large or how small.

--Effectiveness: All Library activities are designed to accomplish its missions. Optimal results are achieved through efficient use of resources.

--Innovation: The Library constantly seeks, tests, and employs new and creative methods of improving its services and the use of its resources.

--Fairness: The Library is fair in its treatment of staff and users, and it respects all persons and takes measures to ensure equal treatment and opportunity in all of its activities.

--Participation: The Library encourages and supports widespread staff participation in the planning, implementation, and ongoing evaluation and improvement of its programs and activities.

--Staff Development: The Library ensures that it has the human resources appropriate to conduct its programs by encouraging and supporting staff excellence, and it takes measures to promote and foster superior performance, leadership development, individual growth, job satisfaction, and opportunities for career development.

COLLECTIONS

The collections of the Library are unique in their nature and extent and their development, organization, preservation, and security are consistent with this uniqueness.

The Library develops collections in all fields (except clinical medicine and technical agriculture), in all languages, and in a variety of formats. The Library clearly and formally articulates its collection development philosophy and acquisition policies and procedures in order to ensure consistency and continuity and to use its resources effectively.

The Library's cataloging and related bibliographic activities are focused on materials within the collections in pursuit of the primary objective of making all of them known and accessible to users in a timely and useful manner. The Library adheres to appropriate national, international, and internal standards.

The Library's collections are housed and preserved in suitable, controlled, and secure environments. The Library aggressively applies appropriate preservation mechanisms to each and every collection it has or acquires. While maintaining a balance between user needs and the need for security and preservation, the Library is energetic and vigilant in assuring that its collections are protected from harm and employs physical measures and procedural controls to protect them.

SERVICES

The Library of Congress provides its services swiftly, surely, and courteously, when and where needed, to the Congress and to others for whom the Library is the best source.

Because an informed legislature is the keystone of a working democratic republic, the Library gives, as a first priority, responsive and farsighted support to the research needs of the Congress, including in-depth policy analysis.

The Library offers vigorous and responsive service to a wide spectrum of users both inside and outside its facilities through a variety of means. It has an appropriate hierarchical referral, reference, and research service based on an informed understanding of the full range of user requirements.

In response to the information needs of the nation, the Library provides customized services at a fee when such services would contribute to the Library's mission and could not otherwise be provided.

The Library has a well-established program for cooperatively building a national bibliographic data base and provides continued and expanded national leadership in cooperation with the library community.

The Library promotes creativity through the effective administration of the copyright law and preserves the balance between those who create and those who use intellectual property by advising on the development of copyright laws.

LEADERSHIP

Under the aegis of the Congress, the Library exerts its leadership vigorously within and for appropriate national and international cultural, library, and information communities by

--playing an increased role in developing or setting the standards in bibliographic, preservation, technical, and technological areas appropriate to its activities for the enhancement of library service throughout the country;

--coordinating and participating in a national network for transmitting and receiving collection content as well as bibliographic data;

--playing a strong role as an intellectual, informational, and cultural force through publications and such programs as exhibitions, conferences and seminars, and residencies and fellowships;

--forging partnerships with the profit and nonprofit sectors for the aggressive and creative development of new programs and resources; and

--championing the ideal of freedom of access to information.

Chapter I-- Increase LC's administrative efficiency and economy, including providing for greater job satisfaction for the Library's staff

Scope: T e recommendations in this chapter fall into thre major categories: (1) the provision of basic services, that is, those administrative services the Library provides to itself; (2) planning, budgeting, and cost of operations; and (3) human resource management, including such issues as EEO, affirmative action, labor relations, training, performance evaluations, and recognition.

ISSUE SUMMARY

Basic Services

There are serious deficiencies in the present Library systems for (1) obtaining internal services and processing administrative actions in a timely manner; (2) getting status information about those requests and actions; (3) obtaining timely and up-to-date information about laws, policies, court decisions, and regulations that affect Library activities; and (4) producing management information necessary for ongoing evaluation and improvement of basic services. There are perceptions of a lack of responsive and consultative service, inadequate flexibility, a lack of back-up systems, and lack of coordination and accountability for services that cross organizational lines. As a result, basic services are often provided in an ineffective and inefficient manner. This situation seriously impedes our ability to meet program objectives throughout the Library.

In general, the burden of accomplishing administrative objectives is placed on the user, who must track the progress of actions and spend considerable effort and time on moving them from step to step. Service providers are passive recipients of requests and do not generally have systematic or reliable methods for distributing information, keeping it up to date, or providing users with feedback. Ongoing management oversight is minimal, at best, and there are few, if any, management information systems to support evaluation of services. Rarely are users asked to evaluate the services they receive.

When modifications in services or procedures are undertaken, users' needs often seem secondary to other process considerations. There is a perception that processes are driving the mission rather than the mission driving internal process, and that some persons in staff positions (personnel who advise and support line managers in carrying out their duties efficiently) are making decisions that persons in line positions (personnel who have direct control over the activities that constitute the mission of the Library) should be making. There are various reasons why persons in staff positions make decisions they should not, among them the following: first, upper-level line managers give the authority to the staff person or offices whether consciously or not; second, overworked or insecure line managers may find it convenient to delegate to their highly trusted staff decision-making responsibilities that they should have retained; third, lower-level line managers become comfortable with higher-level staff making decisions because it reduces their accountability.

To be successful, any effort to address these problems will necessarily involve a number of different but interrelated initiatives, which should, minimally, include the following: (1) managerial accountability at every level for institutionalizing the Library's values and working toward achieving agreed-upon program goals; (2) development and implementation of a systematic planning process which will set those goals; (3) provision of adequate staff and nonpersonnel resources to meet the goals; (4) commitment to simplify and expedite procedures wherever possible; (5) effective management oversight of all operations at all levels; and (6) commitment to develop, maintain and distribute management information to basic service users.

Planning, Budgeting, and Cost

The Library does not have adequate, reliable information about the costs of its operations. Without a knowledge of costs, the Library cannot adequately assess the effectiveness and efficiency of its operations. It cannot assess the practical impact of actual or proposed changes in its policies and procedures. Judgments about costs and benefits must take into account the impact on constituents as well as the Library itself: a service costly to the Library may be so beneficial to others that its continuation is justified. In other cases, adequate cost information will help in establishing the proper fees to charge for products or services. Cost information must also be used to support decisions about alternative uses of resources. Every activity has its cost, and with finite resources each decision to do something is a decision not to do something else or to do it less well.

The Library does not develop long-range plans related to recognized and prioritized institutional goals. Rather, the Library's planning process tends to be separated from or to be driven by the budgetary process and to occur within lines of administrative authority rather than in terms of the programmatic strategies of the Library as a whole. To fulfill its mission, it must develop long-range plans that provide the basis for addressing problems, initiating programs, and supporting ongoing activities, and these plans must be based on reliable information and must drive the budget process.

There is no clearly defined process, nor is there anyone with the specific responsibility and authority to recognize, analyze, and resolve systemic problems, that is, those problems that cut across service and program boundaries. In the past, localized ad hoc initiatives have often resulted in duplication of effort, incomplete information for making decisions, and often no decision or action to resolve problems. This is a direct consequence of the lack of an overall strategic planning process.

Human Resource Management

Many Library of Congress employees feel partially or completely disenfranchised and lack a clear understanding of the purpose and direction of the organization. The communication process, in many cases, is one-way. Generally, there is a lack of accountability for results and a lack of trust in one another to be team members in fulfilling the mission and goals of the Library of Congress.

The labor/management relations program and structure are superimposed on the complex and overburdened personnel bureaucracy without a labor/management philosophy. Informal, creative, and innovative approaches have been discouraged because of fear of possible conflict with existing law and procedures and the fear that precedents would be established. There is an absence of effective communication and training, excessive reliance on rules and regulations, too much litigation, and too little flexibility, cooperation, and risk-taking in problem solving.

There is a perception internally and externally that the Library is not as committed as it should be to being an equal employment opportunity employer. The Library's EEO problems and process have absorbed resources that could have been better used elsewhere. There is a serious lack of effective communication, training, and accountability relating to equal employment opportunity. Many complaints that are filed in the EEO office are not of a discriminatory nature but rather a conglomerate of other types of staff concerns and problems, many legitimate, some without merit, but for which there is no other apparent avenue of redress. Affirmative action programs have not adequately focused on recruitment, selection, training, development, and placement for members of gr[illegible] which have been identified as underrepresented, including the handicapped. On the other hand, the Library has a good hiring record when compared to the Federal work force as a whole.

Career mobility in the Library is limited. Staff in lower-level positions find it difficult to compete successfully for higher-level positions for which they are or can become qualified. Staff who have reached the top of their ladder and have been there for a period of time often become bored with their position and wish to expand their horizons by either moving into a supervisory position or gaining additional experience in other areas of the Library. In addition, staff members with unparalleled expertise in a variety of fields are not afforded sufficient opportunity to use their expertise in a research environment. Sometimes a person is placed in a management or supervisory position and becomes ineffective. This situation may affect the newly appointed manager/supervisor who realizes early that he/she is not suited for such a position, as well as the longer-term manager/supervisor who is no longer effective because of burnout, changing policies and organizations, or changing personal circumstances. Under current regulations and policies it is difficult, if not impossible, to provide staff with additional experience or to move a supervisor to a nonsupervisory position without undue stigma.

Performance Evaluation

The Library of Congress performance appraisal system is ineffective and a source of dissatisfaction among staff, supervisors, and management. Many staff feel the system is punitive rather than developmental and object to the lack of uniformity across organizational lines. Supervisors cite the absence of adequate training and clear guidelines. There is a lack of valid performance requirements and clear expectations. Adjectival ratings are too broad, not clearly defined, and not adequately linked to performance requirements. Clear, written institutional guidelines for performance appraisal procedures are lacking. Performance appraisal is not linked to organizational goals.

There is a widespread perception that staff members are not adequately recognized for their contributions to the Library. It is felt that the actions, opinions, and deeds of individual staff members are not sufficiently valued.

The Library lacks information about the benefits and costs of alternative work schedules. Many staff perceive alternative work schedules as a means of addressing individual needs, promoting job satisfaction, and reducing leave problems and wish for even greater flexibility. Many supervisors, on the other hand, complain about adverse effects on their ability to get the work done because staff schedules are so varied.

The adverse action system is not satisfactory: the role of the reply officer is ambiguous; the lack of time constraints, in many cases, effectively denies due process; there is insufficient training for managers serving as reply officers; advice is poorly coordinated; multiple avenues of appeal consume additional time and resources, and the regulation and guidelines are complex and confusing.

Training

The general perception is that current staff training efforts are ineffective. Courses do not reflect changing needs and take too much concentrated time from busy schedules. The training office has operated in isolation and has not been an active source of professional advice, nor has it served as a coordinator of interdepartmental ideas and programs. The training office has not enjoyed strong management support, is inadequately staffed and equipped, and, consequently, is unresponsive to departmental needs. Most new supervisors at the Library of Congress are not receiving an orientation to basic personnel functions in a timely manner, if at all. Also, there is neither planning nor allocation of resources for developing supervisors systematically in areas of special interest to the Library. The

Library's orientation program is also ineffective; there seems to be little commitment to making it the positive training tool it should be.

RECOMMENDATIONS SUMMARY

Basic Services

*1. Develop and implement an interactive online system to meet many of the administrative information/communication needs of basic services users and providers. Include in the system such things as service requests to LSSO, P&S, ASO, and LERO; LCRs, Personnel and Labor Relations information files; financial management files; and general information [DOC 1].

*2. Build systems for increasing responsiveness into current organizational structures. Such systems should include the addition of service-related skills to all job requirements; training in such skills; orientation programs and staff exchanges between providers and users of service; organized dialogue between providers and users; systems for ongoing evaluation of services; and establishment of standards [DOC 2].

3. Increase administrative flexibility and accountability for service through broader position descriptions or other organizational changes [DOC 2].

4. Evaluate existing systems to see if resources are adequate and whether simplification of procedures or improved office layout will improve service, to see if decentralization would be effective, and to see if privatization would be effective [DOC 2].

*5. Clarify line and staff responsibilities. Make line managers aware that they have authority, responsibility, and accountability through position descriptions, discussions of performance expectations, and performance appraisal. Evaluate staff personnel on how well they serve [DOC 3].

6. Institutionalize a combination of centralized and decentralized end-user automation support, charging departments with development of programs to achieve an appropriate level of service, charging ASO with creating an Information Technology Center that is responsive and consultative in its approach to serving departmental automation groups, and creating a mechanism for interdepartmental coordination [DOC 4].

Planning, Budgeting, and Cost

*7. Hold managers accountable for determining costs, using them in decision-making. and making appropriate reports to higher levels of management; for reassessing operating costs on a recurring basis; and for justifying to their supervisors the continuation or termination of those practices, projects, and programs that are designated for regular examination [DOC 5]. Obtain professional resources to work with Library managers to establish methods of determining the overall and component costs of their operations on an ongoing basis. Increase the cost awareness of all staff members by publishing current information about overall and component costs [DOC 9], encouraging cost containment and reduction, and rewarding those who make significant contributions in these areas. Share cost information and cost-determination methodologies with the library community. Work actively with libraries, library

*An asterisk marks those recommendations that the MAP Committee has determined are of high priority.

organizations, and other parties to promote cost awareness and the development and use of standards for determining and using cost data [DOC 5]. Decentralize appropriate aspects of the budget as possible to the lowest possible level [DOC 6].

*8. Create an institutionalized process for developing and implementing long-range plans for all areas of the Library's activities that will "drive" the budgetary process [DOC 6]. Ensure that planning at all levels is a line responsibility. Involve lower-level line managers in every appropriate planning process, especially annual management plans, and ensure that all managers are held accountable for attaining goals [DOC 3].

*9. Establish a mechanism for ensuring that space is planned from an agency viewpoint as an ongoing process and coordinated with staff at the operational level and appropriate support services. Include language specifically enumerating responsibilities in the area of space planning in documents establishing organizational structure and responsibilities. Alter position descriptions for division managers to include specific space planning duties and incorporate these responsibilities into the performance evaluation. Implement the approved recommendations of the Task Force on Future Library Needs, which address space problems [DOC 7].

10. Develop and implement a single, institutionalized process for the identification, analysis, and resolution of systemic problems, with all initiatives reported to and cleared by Executive Session which ..ould appoint a committee chair, establish a schedule, and review final recommendations. This will permit decentralization, increase probability that most problems will be considered, assure that redundant initiatives do not take place, provide for monitoring, and assure that recommendations are considered [DOC 8].

Human Resource Management

*11. Work to create a climate of trust and honesty by integrating, at all levels, the values in the mission statement into staff orientation, training, and performance appraisal [DOC 10].

12. Establish a pilot consultative management program in a Library department or office with a minimum of 500 staff to determine whether this approach is feasible or desirable in a large department. Consider establishing applicable consultative processes throughout the Library based on the findings of the consultative management pilot program [DOC 11].

*13. Seek to establish effective and productive communication and problem-solving processes between labor and management by

a. attempting to resolve problems at the lowest organizational level by delegating more authority to first-line supervisors and stewards;

b. establishing routine and frequent communication between the parties at varying levels on a wide range of matters of mutual interest;

c. encouraging labor and management to acknowledge their respective roles as problem solvers and not just as advocates;

d. encouraging labor and management to learn to recognize and strive to identify common interests and not just differences between them;

e. conducting labor/management relations in a cooperative environment and developing mechanisms for problem solving to precede negotiations;

f. emphasizing the importance of each side recognizing and respecting the legal status of the other;

g. encouraging management and labor to be honest about issues and situations, including changes being bargained over;

h. emphasizing the importance of having both parties approach collective bargaining with all available information necessary to conduct effective negotiations; and

i. ensuring that all managers, supervisors, and labor organization officers and stewards have thorough and effective training in the collective bargaining agreements, Library of Congress Regulations, and Title VII of the Civil Service Reform Act [DOC 12].

*14. Commit to a viable Equal Employment Opportunity program by:

a. allocating adequate resources to process EEO complaints in a fair and expeditious manner, through increased staffing, contracting out, or other creative approaches:

b. improving the communications process between the EEO Office and Library staff;

c. taking timely and appropriate corrective action where discrimination is found to have occurred;

d. encouraging more supervisory counseling of staff and resolution of problems at the lowest organizational level.

e. considering the establishment of a position of ombudsman/mediator, not to exceed two years (at the end of which the continuing need would be re-evaluated), where unresolved problems unrelated to EEO may be addressed;

f. considering the implementation of recommendations from the Library's EEO office which recommended that the Library implement appropriate parts of the EEO regulations, 29 CFR, Part 1613;

g. considering the establishment of the EEO office and function independent of all personnel and human resources functions; and

h. adopting the EEO/AA recommendations made by Arthur Young in its Interim Progress Report dated September 12, 1988 [DOCs 10, 12].

15. Establish a Pilot Staff Development Internship to enable selected Library of Congress staff who are in dead-end nonprofessional jobs (GS-5, 6, 7, 8) to compete for technical or professional series positions with promotion potential to the GS-11 and 12 [DOC 13].

*16. Develop pilot programs in one or more of the following areas to provide job enrichment opportunities <u>inside</u> the Library:

a. <u>Temporary transfer program</u>. Here is envisioned a limited transfer to another area in order to gain more experience than details allow.

b. <u>Job-family concept</u>. This concept is one that would gather together "like" positions throughout the Library into a family that requires the same or similar qualifications for the entry level position and facilitate movement at higher levels without requiring a reduction in grade or salary. For example, a job-family of some 1410 positions might be considered since the basic qualification is the library degree.

c. <u>Program to organize staff enrichment</u>. This option deals with a structured program to provide staff in one area with experience in another on a less-than-full-time basis. For example, a reference librarian in the Science and Technology Division would spend a specified number of hours during a specified period (day, week, pay period) in the appropriate science cataloging section of the Subject Cataloging Division. Such a program might be established to provide in-depth training in an area that is closely related to the staff member's permanent position.

d. <u>Dual appointment in two areas</u>. This option provides automatic enrichment in two areas as it requires working permanently under two different position descriptions.

e. <u>Project bank</u>. This option provides an opportunity for staff to work from a list of projects the Library would like to undertake but for which there are not currently sufficient resources within the appropriate unit.

f. <u>Sabbatical within the Library</u>. This means the granting of a paid sabbatical to pursue research on a topic within the Library related to the Library itself or to some aspect of the person's permanent position for which research is desirable. [DOC 14]

17. Develop pilot programs in one or more of the following areas to provide job enrichment opportunities outside the Library:

a. External rotational assignments. Develop an organized program for staff to be able to assume positions outside the Library on a temporary basis. b. Staff exchanges. Promote a climate whereby the Library makes an effort to exchange staff with other institutions or agencies for a specified period.

c. Interns/visiting personnel. Bring personnel in on a temporary basis to work on projects for which there are no staff resources or to give the person experience in Library of Congress practice and policies.

d. Establish a Library-wide project bank. Prepare a list of projects the Library would like to undertake but for which there are not currently sufficient resources. Personnel could be brought in to work on the projects, allowing the Library beneficial exposure to experts from other organizations.

e. Establish a Librarian's discretionary fund. Such a fund, to provide monetary resources for special assignments, projects, exchanges, and so forth, could be created from monies made available from outside sources, for example, foundations, to facilitate the options noted above. [DOC 15]

18. Develop pilot programs in one or more of the following areas to facilitate movement of unsuccessful supervisors into nonsupervisory positions when all parties are willing and, therefore, the disciplinary route is counterproductive and attaches undue stigma to the action:

a. Appoint managers/supervisors on a two-year contractual basis. This would involve an agreement between the Library and the employee specifying what is expected of the manager/supervisor and what options will be allowed should the employee be unsuccessful. Should the appointee not be successful, he/she could be transferred to another position.

b. Appoint managers/supervisors on a one-year contractual basis at the same grade as the previous position. If the appointee proved successful as a manager/supervisor, he/she would be promoted at the end of the probationary period to the grade of the manager/supervisor. If he/she did not prove successful, the need to transfer him/her to another position would not also result in demotion.

c. Rotational supervisory positions. This option would rotate among the several eligible persons within a organizational unit, each of whom would be at the same grade level [DOC 16].

*19. Develop a philosophy and mechanism for effective formal and informal recognition of individual contributions. Develop and provide a training program for supervisors to encourage increased use of staff recognition activities. Hold supervisors and managers accountable for instituting Library-wide the practice of staff recognition as an ongoing supervisory function and for reporting periodically on recognition activities in their areas and any observed impact on staff [DOCs 18, 19].

20. Assess the Library's experience with alternative work schedules to determine their impact on operations and agency objectives and on employee satisfaction. Depending on the results, consider scheduling modifications based on options suggested by MAP or other appropriate options [DOC 20].

21. Improve the adverse action procedure by redefining the role of the reply officer, establishing time limits for reply, reducing the number of avenues for contesting adverse actions, improving coordination of offices advising on the process, and rewriting the LCR and guidelines [DOC 21].

Performance Evaluation

*22. Improve the current performance evaluation system starting by:

a. Developing an ongoing training program for supervisors on how to write a performance appraisal.

b. Making narrative portion of appraisal mandatory and providing for staff to have an opportunity to give comments and input prior to completion of the formal evaluation.

c. Establishing a procedure to ensure that all staff are evaluated annually and appraisals are written on time.

d. Establishing supervisory accountability for quality and timeliness of performance evaluations and reflecting this in the supervisors' performance evaluations [DOC 17].

*23. Design a new evaluation system including elements such as the following:

a. Changing the adjectival rating process by removing the adjective, removing "excellent" and changing "satisfactory" to "successful", expanding the range of adjectives, or other options.

b. Developing a written institutional philosophy that links performance appraisal to organizational environment and goals.

c. Reviewing performance requirements for consistency across similar job functions.

d. Developing a more structured appraisal form that includes as required elements for all staff: narrative comments on the previous year; goals for next year; and date for six-month review. Developing performance feedback forms (based on critical job elements) to be used for mandatory discussion at the six-month period.

e. Establishing several experimental pilot programs in the area of performance evaluation in consultation with staff and involving different departments, multiple supervisors, homogenous work groups and an outside facilitator [DOC 17].

Training

*24. Improve the management of training at the Library by:

a. Developing a combined approach to training by establishing a partnership between a centralized training office and the departments.

b. Conducting a needs assessment survey to determine current and future training requirements for Library staff at all levels and for projects proposed in budget and five-year plans.

c. Clarifying budgetary responsibility for Library-wide training programs; assuring accountability for budget requests, justifications, and obligations; considering impact on training requirements in budget proposals, and including necessary training funds in budget request [DOCs 22, 23, 28].

*25. Develop a program of mandatory training for all supervisors, including

a. briefing within first week on departmental policies and procedures, philosophical issues, helpful hints on handling things;

b. the equivalent of one-week's basic training for new (first-time or new to the Library) supervisors within three months of appointment; and

c. one-week supervision and leadership training course within first year on theoretical aspects: for example, motivation, delegation, leadership roles, accountability [DOC 24].

After the basic mandatory supervisory training, provide a progressive integrated course of study to develop supervisors professionally (parallel to the way technical experts are developed) as they assume more responsibility; conduct annual reviews to assess individual supervisory skills, knowledge, and abilities requiring improvement or enhancement. Provide a refresher course on basic LC personnel functions every five years.

*26. Provide adequate funding for training by:

a. Compiling data on the cost of formal in-house training provided by the Staff Training and Development Office, the departments, and other sources: full and part-time trainers' salaries and related expenses, including proportion of facilities and administrative costs; establishing a minimum goal of one percent-of-payroll for formal outside and in-house training costs in fiscal year 1991, two percent by fiscal year 1995, and three percent by the year 2000; and requesting progressively increasing funding from Congress to reach these goals. Do not cut personnel funds.

b. Considering establishing a fiscal year 1990 base for Library-supported training on an average per capita basis for outside training expenditures (hardware, off-the-shelf or custom materials, seminars, and outside services) [DOC 23].

27. Provide basic instruction on teaching techniques for every supervisor or other employee who is responsible for any form of on-the-job training [DOC 24]. Cost would include hiring an outside contractor to present the training and to work with managers on follow-up techniques to assure application of the course [DOC 29].

28. Improve and expand the orientation program to the Library to include orientation to the work unit (beginning first day), to the division (within the first one to three months), and to the department and the Library (within the first three to six months). Develop a system that automatically assigns new employees to Library orientation without requiring supervisors to initiate paperwork [DOC 25].

29. Link automation planning with automation training. Responsibility for automation training should be addressed at all levels. Establish communication channels with the automation users to receive input continuously on the type and level of automation training needed [DOC 26].

30. Improve the work-study program by developing work plans, providing orientation and training, designating a liaison/mentor for each student, developing a post-work-study apprenticeship program, and recognizing students at the completion of the program [DOC 27].

Chapter II -- Improve methods for selecting, cataloging, preserving, and maintaining LC's collections

Scope: Issues dealing with the collections touch on virtually all parts of the Library. The collections, many of which have intrinsic value, are central to the provision of service to all users, both in person and remote, as well as to our role in a national library network, including provision of cataloging data to the nation's libraries, coordinating collection development and preservation efforts, and providing access to the collections. Because collections issues are integral to all of the other elements of the charge, and because they are themselves so interrelated, we have brought them together in one chapter to facilitate their consideration. Thus, this chapter includes recommendations on arrearages, collection development, materials processing, bibliographies, and preservation. Security issues were spun off early in the MAP process and assigned to an ad hoc committee which submitted a separate report to the Librarian. Surrogate distribution of collections, because it benefits libraries and library users nationwide, is treated in Chapter V.

ISSUE SUMMARY

Arrearages

One of the most important problems the Library needs to address is the arrearage of unprocessed materials in its collections. Hundreds of thousands of volumes in the general collections and millions of items in the special collections remain unprocessed and, therefore, unknown and unused. The Library of Congress has emphasized the processing of materials for the general collections for many years; however, even this emphasis has not been able to prevent the accumulation of arrearages of book materials. In the area of special collections, adequate resources for materials processing have never been available and huge unorganized arrearages exist. We need a commitment both to eliminate current arrearages and to establish policies and practices which will prevent the formation of new arrearages.

Collections Development

Perhaps more than anything else, the policies and practices by which the collections are developed have the potential for bringing the arrearage problem under some control. Yet currently, the collections development functions are dispersed throughout the library and are inadequately staffed, contributing to an ineffective program.

The Collections Development Office (CDO) has been given a mandate but, in fact, little authority. The book budget is not under its authority, and responsibility for acquisitions travel funds is shared with Processing Services and Research Services. The recommending officers are located in Research Services and National Programs, and CDO has no authority over them. The Law Librarian is responsible for the development of the Law Library's collections and its recommending officers, separate and apart from CDO. Because of its genesis in the copyright law, the Deposits and Acquisitions Division which serves a vital acquisitions function, was placed in the Copyright Office. This division has the potential to reduce the amount of money the Library spends on acquisitions by legally claiming publications that have not been deposited. (Publications valued at over $1 million were claimed in both fiscal year 1987 and fiscal year 1988.) A small staff and lack of communication with other acquisitions divisions currently prevent this potential from being realized even more fully.

Separation of the recommending and selecting functions and the size of the Library inhibit successful communication about collections development. Owing to the large amount of material being received daily, the Selection Office staff can give it only a cursory look and make quick decisions based on their experience and knowledge, country of publication, publisher, format, and other criteria. Marginal and interdisciplinary material may not be sufficiently examined.

Recommending officers typically work on an ad hoc basis, as time permits, with recommending thus given a low priority. Lack of assigned time is a critical element in the perceived faults of collection development. Participation in regular review of approval plans, checking standard and new subject bibliographies, and staying informed about new publications--all are below satisfactory levels. Bibliographies, catalogs, and other sources are routed by CDO for review. The Collections Development Office approves all acquisitions recommendations, and there are significant delays in moving them through the system. The length of time required frequently means that the material is no longer available when an order is finally placed.

Acquisitions Policy Statements are the practical formulations of the Library's collection development philosophy and are a tool for a systematic approach to collections development. They should ensure a Library-wide philosophy for the collections and not reflect parochial interests of individuals or divisions. They are the logical place for establishing acquisitions priorities and for providing guidelines for impact statements to be prepared, as appropriate, when potential acquisitions are under consideration. Responsibility for assuring the development and maintenance of the policy statements lies in the Collections Development Office, but lack of authority and lack of staff prevent the office from fulfilling these functions systematically.

Levels of collecting vary, depending on the nature of the materials and their relationship to the Library's mission. The Library does not collect technical agriculture or clinical medicine. In addition, there are a limited number of areas in which the Library relies on other libraries to acquire materials more comprehensively. Some of these agreements are formal (such as the agreements with the other two national libraries); some less formal. For example, LC deemphasizes collecting local and state materials that are more comprehensively collected by state libraries; LC also does not heavily collect Masonic publications, which are comprehensively collected by the Collingwood Library and Museum on Americanism. Still, the Library of Congress neither has, nor is likely ever to have, the resources needed to acquire, process, and house <u>all</u> research-level materials. The Library can concentrate on collecting certain materials, relying on other institutions for materials in designated areas, through cooperative collection development. The benefits of cooperative collection development to the Library of Congress are improved access to information for users and the ability to focus resources on priority areas.

Materials Processing

To be most useful, an item and its corresponding catalog record must be available to users in the shortest time possible after acquisition occurs. Studies done by Processing Services have revealed that the availability of many catalog records follows acquisition by unacceptably long periods of time. Although the Library of Congress is not alone in its inability to process its entire holdings, the continued growth of our arrearage presents several special problems:

(1) There is a lack of knowledge of, and access to, items in our possession.

(2) Other libraries depend on the Library of Congress for cataloging and other bibliographic information.

(3) Much of our arrearage consists of unique items that will be unknown unless we process them.

(4) Until processing occurs, the preservation needs of the arrearage items are not known;

deterioration which could be arrested may not be stopped in time.

(5) Much of the arrearage is stored in unsuitable physical surroundings which place them in hazard of damage, loss, theft, or premature deterioration.

(6) The Library's failure to process and safeguard properly its collections may, if known, discourage potential donors from entrusting their holdings to our care.

Factors contributing to the arrearage problem include:

(1) An imbalance of resources for cataloging special collections vs. general collections materials. The Library has supplied much of the cataloging for English- and foreign-language materials for the nation. But while the Library has been successful in these areas, large numbers of items, especially in the special collections, have remained uncataloged and virtually inaccessible.

(2) Insufficient resources to assure timely processing of receipts.

(3) Resources stretched too thin by adherence to extensive, detailed, and complex cataloging rules and procedures.

(4) Insufficient consideration of the end-user's needs in the evolution of cataloging practices, which have responded instead to technological change and the dynamics of the national and international communities of technical services professionals. While this has produced improvements, it has also increased the resources needed to catalog the average item.

(5) The ability to base cataloging priority on need apparently is not adequately used. As a result, items containing timely, significant information are given relatively low priorities and take unnecessarily long times to be cataloged and made available for use. The large volume of CIP materials causes unacceptable delays in the cataloging of lower-priority materials, foreign-language materials are afforded insufficient resources, and the public is ill-served by the resulting delays.

(6) The Library does not emphasize the importance of minimizing the amount of time elapsed (throughput) time between the acquisition of an item and its availability, supported by completed cataloging or other means of identification and access, nor does it have target times frames for making acquisitions available for use.

Bibliographies

The Library does not have adequate resources for the compilation and production of bibliographies, guides, indexes, and similar finding aids that describe its collections. Such tools provide valuable access to collections, or parts of collections, that may never be adequately accessible through traditional bibliographic control methods; they have the further benefit of being widely distributable. There is no coordination of the work of "scholar-librarians" throughout the Library who are creating bibliographies for publication. Moreover, those who are engaged in compiling bibliographies lack a centralized source of technical support, including the automation of bibliography production. There appear to be no agreed-upon standards regarding formats, citation style, or annotations.

Preservation

Each day in its readings rooms, the Library serves many items in various states of deterioration to its readers. Such unrestricted access results in irreparable damage to irreplaceable items. The Library is not providing a proper physical environment for its own collections. There is no formal plan to safeguard the collections in the event of a major emergency. Authority and responsibility to coordinate and implement a systematic institutional approach are not clearly established. The Library has not undertaken systematic preservation surveys of its collections as a whole, nor does it actively monitor the rapidly deteriorating condition of the collections. There is currently no written short- or long-term preservation plan that outlines general criteria for preservation from an institutional perspective and that articulates a clear, prioritized, and effective program to preserve the extraordinary collections that have been entrusted to the Library's care. We do not know the extent to which many of the Library's collections are at risk. We do not have sufficient resources to treat properly materials at the time of acquisition, where appropriate initial attention could reduce the need for later, more extensive treatment. We do not have adequate resources to apply preservation treatment to items from all Library collections.

No oversight above the division level exists for some preservation-related activities. The separation of the units dealing with optical disk preparation, motion picture copying, still photo preservation, and electronic imaging prevents them from working together on mutually beneficial undertakings in a fully effective way. The Preservation Office and the National Preservation Program have provided leadership in preservation, and major experiments like the DEZ mass deacidification project contribute to the advancement of the field. However, more could be done to advance the cause of the preservation of photographic materials, machine-readable collections, and motion picture and recorded sound collections. The dispersed nature of preservation activities has tended to interfere with the coordinated presentation of overall needs when resources are sought.

Certain topics related to preservation research have been investigated apart from the Preservation Office. Aspects of image and audio digitization and the use of optical disks have been study topics for other Library divisions. Particular research topics have not been selected in a way that takes Library-wide priority-setting into account.

It is not always possible to discover if a particular work has already been preserved-by-copying elsewhere in the United States (or the world, for that matter). There is a risk that the Library (or any other institution) will create a new surrogate when it would have been cheaper to purchase an already existing copy elsewhere. Scarce resources are wasted when two institutions microfilm the same book, copy the same theatrical motion picture, and so forth. Costs to copy motion pictures or other media items are astronomically high.

RECOMMENDATION SUMMARY

Arrearages

*31. Make the virtual elimination of unprocessed arrearages a primary goal of the Library:

a. Conduct a complete census of the Library's unprocessed arrearages of all types [DOC 31].

b. Develop for the Librarian's approval a detailed, long-range plan for elimination of the arrearages, including methods and resource estimates for the processing of each component [DOC 31].

c. Make the present situation clear to the Congress and obtain its ongoing support, including additional resources, for the accomplishment of this goal [DOC 31].

d. Act vigorously and creatively to obtain private funding for work on the arrearages. Sources to be investigated could be general interest (such as foundations) or closely linked to the materials in question (for example, support from Kodak for processing photographs) [DOC 31].

e. Enlarge the membership in the NCCP (National Coordinated Cataloging Program) if the results of the pilot NCCP are positive [DOC 32].

f. Use the cataloging on the bibliographic utilities in as many instances as possible when the LSP bibliographic record transfer is operational [DOC 32].

g. If the benefits outweigh the costs, rely on other libraries for CIP record creation or the upgrading of records [DOC 32].

h. Reallocate resources currently used for other programs, such as the National Union Catalog (pending the completion and analysis of pending studies of the NUC) to the cataloging of special collections and the arrearages [DOC 32].

i. Implement frequent reporting to all parties concerned about the size and composition of arrearages [DOC 31].

32. As appropriate, continue to place parts of the Processing Services arrearages in the temporary custody of Research Services divisions until processing can be completed [DOC 31].

33. Consider placing some unprocessed materials at other institutions where they would be processed and made available for use, subject to conditions established by the Library, but would remain the property of the Library and could be recalled under certain circumstances. An example is the placement of the depression-era Federal Theater Project materials at George Mason University [DOC 31].

*34. Require the preparation of an acquisition impact statement for contemplated extraordinary acquisitions. This statement would set forth plans for the extent and timing of processing to be provided and address all impacts the acquisition would have on processing resources, potential disruption of the processing of other materials, preservation requirements, space and equipment needs, and other pertinent information [DOC 31].

35. When appropriate, seek outside resources to assure the prompt processing of major gifts of materials for the collections [DOC 31].

Collection Development

*36. Consider the following options in determining the macro-organizational structure:

a. Make a single senior officer responsible for recommending and selecting functions that are performed throughout LC. This will most likely require some form of matrix management [DOC 33].

b. Make the Collections Development Office responsible for policy only [DOC 34].

c. Make the Collections Development Office an operating unit and assign it additional resources.

d. Assign authority for development of the law collections to the Collections Development Office.

e. Determine whether a new administrative location is desirable for the acquisition functions of the Deposits and Acquisitions Division of the Copyright Office [DOC 34].

37. Extend selection responsibilities to include recommending officers and other librarians. [DOC 33]. (While more subject and language expertise would be available, accountability and supervision would suffer.)

38. Establish the authority of field directors for selection decisions [DOC 33].

39. Appoint staff in departments other than Research Services, National Programs, and the Law Library who have subject, language, or special format expertise to serve as recommending officers [DOC 35].

*40. Provide more support for recommending officers and continue to use their special subject, language, and format knowledge. To ensure accountability, include performance of recommending functions in annual performance evaluations [DOC 35].

41. Investigate the possibility of joint appointments. For example, subject catalogers would spend a portion of their time performing reference functions, including recommending [DOC 35].

42. Establish a dollar amount below which individual purchases do not have to be approved by the Collections Development Office [DOC 34].

43. Collect in areas and at levels consistent with current Acquisitions Policy Statements [DOC 36]. (This would be an expansion from present practice because, for a variety of reasons, the policy statements are not strictly followed in all cases. Implementation of this recommendation must account for its impact on the arrearages and on other Library resources.)

44. Document, evaluate, and publicize within the Library all existing cooperative collection development agreements in which the Library participates [DOC 36].

45. Identify certain areas in which the Library might engage in cooperative collection development and begin a pilot project with another institution to include sharing of bibliographic information (the input of the other institution's holdings in the shared subject into the Library's data base); rapid document delivery; reference referral; cross-training of staff; and priority cataloging for items on agreed-upon subjects [DOC 36].

*46. Become full members of organizations involved in cooperative collection development activities (for example, the Research Libraries Group, OCLC, the Center for Research Libraries) in order to participate more fully in planning for resource sharing activities. Investigate formal cooperation with the Consortium of Universities of the Washington Metropolitan Area [DOC 36].

47. Identify areas for which cooperative collecting agreements can be reached with libraries outside the United States [DOC 36].

48. Sponsor a conference for scholars, librarians, and representatives of major scholarly organizations to consider how changing research methodology and information demands are affected by and affect cooperative collection development, addressing both national and international concerns, as well as the role of the Library of Congress in these developments [DOC 36].

Materials Processing

*49. Commit the Library to be a vigorous leader in implementing actions which will improve the effectiveness and efficiency of cataloging in general. Work aggressively within the field of technical processing professionals and organizations (for example, ALA, IFLA) to generate interest in a fundamental reexamination of the purposes and practices of cataloging. To meet operational goals, continue to develop and apply ways of refining the Library's own cataloging processes and products [DOC 37].

50. Conduct a comprehensive survey of parties involved in the CIP Program, to address such topics as uses and timeliness of CIP cataloging, representation of materials and publishers in the CIP Program, determination of cost of the CIP Program, sharing costs more equitably among participants, determination of the stage at which the record (CIP or full cataloging) is most useful to outside libraries and LC, sharing the responsibility for CIP cataloging among a consortium of libraries, and regular review of the CIP Program [DOC 38].

51. Develop and apply more effective approaches for LC's management of the CIP Program:

a. Examine the validity of assigning priority 1 to all CIP items [DOC 38].

b. Investigate performing the CIP verification process within the CIP Division to improve the timeliness of this function and lower its cost [DOC 39].

c. Have the CIP Division create an in-process CIP record in APIF, working from the galleys and any other material supplied by the publisher, to make a record quickly available [DOC 39].

d. Permit participants in NCCP to perform CIP verification in those cases where they receive a published copy before the Library does [DOCs 32, 39].

e. Investigate the feasibility of having some CIP cataloging done from galleys sent directly to other libraries. An example might be an NCCP library that would catalog the CIP titles published by that school's university press [DOCs 32, 39].

52. Consider the results of the multi-departmental review of the cataloging priority system (under way) when decisions are made concerning the options presented below:

a. Increase the staff of the Selection Office, both to provide broader linguistic competence and to provide more staff to examine the content of materials when assigning cataloging priorities.

b. Establish a mechanism for designating those subject and geographic areas which are of critical interest to the United States to receive timely acquisitions, cataloging, and related processing. Such subject areas would be considered high-need and would receive cataloging priority 1 or 2.

c. For all foreign publications, assign priority on the basis of content rather than language. Do not give preference to items in English.

d. Insulate CIP publications from the regular cataloging stream as much as possible, so that they do not interfere with other work [DOC 40].

*53. Adopt throughput time as a principal measure of the Library's success in materials processing. Establish specific target times for types and priorities of materials. Make continuing reductions in throughput times a major goal for the organizational units involved, and make accomplishments in pursuit of this goal an important factor in evaluating the performance of managers, supervisors, and journeymen employees. Regularly collect throughput data and publish it to affected organizations within the Library. Develop and implement systems for monitoring the movement of items through the processing workflow, detecting those which are moving more slowly than desired, and making adjustments to keep conditions within acceptable limits. Establish target ranges for throughput times for each cataloging priority. Establish and adhere to guidelines for the timely processing of nonbook materials which are acquired by the Library [DOC 41].

54. Develop a data-copying capability to permit the on-demand appearance of COPICS information on MUMS, and vice versa, within the resystemization effort. Only those data elements which would be useful would be copied to be used by the cataloger as the basis for a new catalog record [DOC 42].

Bibliographies

*55. Augment reference staff to allow reference librarians more time to work on compiling bibliographies as part of their regular duties, since reference, collection development, and bibliography are highly interrelated. Add to position descriptions for reference librarians and subject specialists, as appropriate, the responsibility for producing bibliographies. Augment technical support staff so that professional staff can spend more time on this duty [DOC 43].

56. Solicit ideas for appropriate and useful topics from Congress, scholars, librarians, and other interested parties outside of LC, perhaps associated with the Council of Scholars. Establish a program for visiting scholars to work on some of these, and/or other projects. In support of these efforts, aggressively seek outside funding sources [DOC 43].

57. Establish policies regarding the publication of bibliographies in the Library, to include standards and priorities [DOC 45].

58. Establish a central source where staff could obtain help in technical, editorial, and production matters relating to the compilation and production of bibliographies [DOC 45].

59. Increase the automated support for bibliography production [DOC 46].

Preservation

60. Consider preservation issues at each point at which readers, library staff, and materials come together [DOC 50]. Actions which should be taken include:

a. Inspect and review materials from the general and special collections before delivery to readers, taking into account preservation concerns that are unique to a particular item or collection and enforcing any restrictions on use that might result from these limitations.

b. House materials delivered to readers in a manner that is suitable for service.

c. Create appropriate surrogates for service to users, making extensive use of current and emerging technologies.

d. Restrict unsupervised access to self-service copying machines [DOC 47].

61. Institute a Library-wide education program providing staff with information and guidance on preservation related issues, emphasizing the responsibility of staff members at all levels to preserve the Library's collections [DOC 47].

*62. Address concerns about the environment in which the collections are placed by:

a. Housing the Library's collections in suitable environments, with appropriate temperature and humidity controls, lighting, and air circulation and filtration systems.

b. Implementing an environmental monitoring program that combines regular sampling of air quality with periodic inspections of spaces where the collections are housed.

c. Eliminating environmental hazards that threaten the collections, starting with those in the various rare book areas, and protecting these areas with alternative, nonaqueous fire prevention systems [DOC 48].

*63. Immediately prepare institution-wide as well as departmental disaster plans, clearly delineating responsibility, authority, priorities, and resources needed to carry out the program in case of disaster involving the collections. To assist the Library to complete this critical assignment as soon as possible, it is strongly recommended that specialists in emergency planning be engaged to help draft emergency preparedness plans [DOC 49].

64. Implement the recommendations outlined in the Report of the Task Force on Preservation Selection [March, 1988] [DOC 51].

65. Allocate adequate resources to apply necessary preservation treatment (to include housing) when items and collections are acquired by the Library [DOC 50].

*66. Assign to the Preservation Office responsibility for providing overall direction for all preservation activities. Empower the Preservation Policy Committee to join in this all-encompassing concern; add members as needed to represent the neglected areas [DOC 52].

67. Focus institutional attention on the special needs in the area of film, broadcasting, and recorded sound. Encourage members of professional groups with a concern for library preservation to extend their concern to the preservation of media collections [DOC 53]. Consider moving toward a unified service facility with capabilities in the related areas of photography (motion picture, still, microform),

magnetic recording (audio, video, data), and electronic imaging (image scanning, storage, and so forth) [DOCs 52, 54].

68. Seek a management analyst's assessment of whether the Motion Picture, Broadcasting, and Recorded Sound Division Laboratory best serves the Library in its present setting, should be made more independent, or should be placed within the sphere of the Preservation Office. Look at matters of workflow, command and control, and overall customer base [DOC 54].

69. Establish a Pilot Preservation Project with Optical Disk, designed jointly by staff in ASO and the Preservation Office. Scan a selected body of materials which would normally be microfilmed for purposes of preservation and store their digitized page images on optical disk using our existing system to begin use of optical disks as a preservation medium and to begin practice of the principles of archive management which we have developed [DOC 55].

70. Allocate sufficient resources to conduct a microfilming program that responds effectively to both user and institutional needs [DOC 50].

71. Encourage the Preservation Office, the Preservation Policy Committee, and Library staff generally to identify areas in which preservation research might be beneficial. Draft a long-term plan for such research, including resources required and plans for obtaining them. Consider an annual review or discussion of potential research topics [DOC 56].

72. Continue to improve bibliographic control of preservation and access surrogates. Establish a register of document surrogates that could include locations for microforms, optical media, photocopies, and reprints [DOCs 50, 53].

Chapter III -- Increase and deepen the direct scholarly use of LC

Scope: Basic to attracting scholarly users to the Library is bringing our collections under control and making them available for use. Issues related to that basic need are addressed in Chapter II. This chapter addresses the need for a reallocation of resources in support of service to scholars, for staff with in-depth knowledge both of the Library's collections and of the subjects and formats contained therein, for improved research support services, and for improved communication with national programs for advanced research. It also makes the case that the commitment to increasing direct scholarly use of the Library requires a corollary commitment to an aggressive program of referring to other libraries--academic, school, and public--readers whose needs could better be met there so as to free resources for collection maintenance, book delivery, and reader assistance to support needs of the scholarly user community. Fee-based research service, while serving the R&D and general business communities, would also benefit the government and thus is treated in Chapter IV. Chapter V deals with the related issues of communications/public relations designed to support the goal of increased scholarly usage, and general visitor services.

ISSUE SUMMARY

The Library of Congress contains extensive collections of unparalleled research value. It is the premier research library of the world, with collections of materials in all subjects, hundreds of languages, and a variety of special formats. The special collections contain millions of items that are rare or unique. Yet the heaviest use of the Library is in the general collections, many of which are readily available and more easily accessible in college and university, public, and school libraries. Processing resources have been applied largely to the general collections, while special collections have been neglected and are therefore relatively little known and accessible. The Library's hours of public service are irregular, but the reading rooms with the most extensive hours serve the general collections; those with more limited hours serve the special collections. Because of the extended hours in the general reading rooms, the limited staff must be assigned to provide coverage and have little time to spend developing their own special knowledge and expertise--to become "scholar-librarians," by developing systematically the collections; by publishing books, bibliographies, and articles in their fields, and by presenting papers at scholarly meetings, all of which would serve to attract scholarly usage. In short, the Library, by allocation of its resources, has communicated the message that our role is to meet general public information needs rather than focus on advanced scholarly needs. If we determine that it is appropriate for us to increase and deepen the direct scholarly use of the Library--and the MAP Committee supports such a determination--we must commit to a long-term reallocation of resources in support of that goal and a strengthening of our role as a partner with other libraries to meet the general information needs of the nation and with the scholarly community to meet its needs.

Although the Library's organization along functional lines, with cataloging and reference functions residing in separate departments, works reasonably well for English- and European-language materials, it may not be the most effective way to deliver service to scholars and researchers using the lesser-known language collections housed in the Asian and African and Middle Eastern Divisions. For these collections, a model based on the area studies collections found in some university libraries--with staff of these units using their special expertise to perform a variety of Library functions, including recommending, cataloging, and reference--might be more appropriate.

RECOMMENDATIONS SUMMARY

*73. Establish a policy which promotes the use of LC by scholars. Develop a strategic plan for redeploying resources in support of the policy. Assess the hours the reading rooms are open and possibilities for change; the number of reading rooms and possibilities for consolidating some of them; staffing requirements and possibilities for reducing staff on duty and having them available on call or by appointment so as to free time for collection development and publishing activities [DOC 58].

*74. Establish a centralized computer-based registration system for readers and an orientation facility with staff to register patrons and help them develop work plans [DOC 58].

*75. Create a new facility near the Library's main traffic flow that would provide an abbreviated service (for example, online catalog searching and searching for facts in a small collection of reference books) for those whose research needs do not require full use of LC facilities.

76. As the policies are implemented and resources freed up to strengthen services to scholars, increase efforts to communicate the Library's services in a focused way to scholarly organizations, institutions of higher learning, and professional associations to attract scholars to the Library [DOC 58].

77. Provide the support necessary so that appropriate LC staff can function as "scholar-librarians" who publish books, bibliographies and articles related to the Library's collections in their fields of specialization, attend scholarly meetings to present papers, and provide information about the Library to their peer professionals through talks, seminars, and informal conversations [DOC 58].

78. Establish joint ventures with scholarship programs like the Fulbright to encourage researchers supported by the programs to conduct some of their work at LC. Expand the divisional academic intern programs [DOC 58].

79. Expand the Council of Scholars and through it establish programs like rotating scholar-in-residence that provide advanced researchers experience with LC services and collections [DOC 58].

80. Consider establishment of "centers for research," which would focus scholarly attention on parts of the collection not currently as well known, used, and supported as they should be [DOC 90].

*81. Enrich new catalog records with "free text" subject terms, for example, from tables of contents and other readily available sources [DOC 58].

82. Create an integrated multi-script data base that is capable of displaying, indexing, and sorting roman and non-roman bibliographic data [DOC 59].

83. With the Collections Development Office, Processing Services, and Research Services working together, conduct up to three pilot projects to test the effectiveness of the functionally integrated model (including recommending selection, cataloging, and reference and research) in different collection environments, including an area studies division, a special format collection, and in a discrete subject area collection. The pilot project would include critical success factors and a management plan for evaluating it [DOC 60].

84. Assist scholars in finding affordable housing for their tenure at LC [DOC 58]. (This has broad

implications for other Library programs--helping with housing would assist intern and other recruitment efforts.)

Chapter IV -- Improve LC's service to the Congress and other government agencies, including the judicial and legal communities

Scope: The Congress is the Library's most important constituency, and the Library of Congress, a major source of research analysis and information for Congress, must sustain its growth in services to meet Members' changing needs. This chapter contains recommendations intended to enhance the entire Library's service to Members of Congress, both in the pursuit of their official duties and in their interpretation of the Library and its service to their constituents. Several recommendations deal specifically with the need to improve our foreign language and translation service to Congress, to CRS, and to other researchers. Recommendations concerning the Law Library are included here. However, because additional substantive recommendations are expected from the AALL National Legal Resources Committee, the recommendations in this chapter do not represent a comprehensive treatment of the Law Library. Fee-based research services are included in this chapter. There is a need to rationalize the research function already offered in the support of the executive branch; such rationalization will also enhance services to those beyond the Federal sector who could benefit from fee-based services.

ISSUE SUMMARY

Service to Congress

Some Members of Congress and their staff still equate the Congressional Research Service with the Library of Congress as a whole, although many services to Members and to their constituents originate in other departments of the Library. Many Members and their staffs are not aware of the range and extent of services offered to them and their constituents by other parts of the Library. Only CRS currently has in place an automated system for tracking these requests and producing management reports. Useful management statistics from other parts of the Library are either lost, isolated, or inconsistent, and are not easily combined with CRS' statistics.

The Congress must have information about all major policy options, with their potential implications and consequences analyzed as accurately and thoroughly as possible. To provide innovative approaches to congressional issues, CRS needs additional assistance, especially when there are gaps in its subject coverage or when an issue becomes of great concern to Congress. The Library and CRS could benefit from a Public Policy Scholar in Residence Program to enrich their services to Congress.

Foreign Language and Translation Service

There are several factors that prevent the Library from providing comprehensive translation service to Congress, CRS, and other researchers. While the Library has the largest collection in the world of foreign-language research materials, as well as access to an unparalleled number of translations prepared either within the Library or externally, there is a need to gain bibliographic control over both the foreign-language and translated sources. CRS maintains an English-language bibliographic citation file, but because of inadequate staff and lack of appropriate expertise, foreign-language sources are omitted, and a wealth of insights and information available only in foreign languages are not being fully exploited. The Library's foreign-language translation capabilities are scattered throughout various departments and lack central coordination. Current translation capabilities are duplicative in some cases, not adequately used in other cases, and misused in still other cases. Finally, the National Translations

Center at the University of Chicago is scheduled for closure as of December 31, 1988. Government agencies and private sector organizations contribute translations to the center, which is a resource of national importance that should continue to be developed and maintained; the Library has an opportunity to obtain this resource and further improve its translation services to Congress and the nation.

Law Library

The Law Library lacks a consistent policy for serving clienteles other than Congress. It is particularly vulnerable to criticism that the local bar and law students call upon a disproportionately large share of resources. This adversely affects the service the Law Library can provide to legal scholars and the nation's law libraries. Other law libraries are turning to fees for services to ration services to secondary clienteles; yet the Law Library has not taken advantage of such strategies for dealing with its own service demands.

The foreign law collections and specialists represent an important national resource. The lack of completion of the foreign law component of class K, the need for restructuring of class JX, and the failure in applying LC Classification retrospectively to the law collection have been major impediments to the ability of American law libraries to organize materials as individual libraries or as a collective. Crucial to the Law Library's ability to locate its own materials and to participate in cooperative collection development is the retrospective application of classification numbers to its collection.

Opportunities for training by foreign law specialists, internships, scholars-in-residence programs, and translation services have not been exploited, nor have efforts to obtain foundation support for these and other programs been made.

Finally, the demands of a national legal information system require the Library of Congress to assess organizational options available for its Law Library.

Fee-Based Service

At present the Library offers research services on a transfer-of-funds basis to only a limited number of executive branch agencies of the United States Government. A broader range of executive branch agencies might be served with more concerted efforts on the part of the Library and an expansion of its fee-based research functions. However, there are no mechanisms for providing similar services to the judicial branch, to state and local governments, or to nonprofit and for-profit organizations. Budgetary problems inherent in the indefinite source of nonappropriated funds must be addressed through new legislation. A well-established fee-based service would facilitate greater use of Library collections by Library staff while fulfilling informational needs of the Government and of the private sector.

RECOMMENDATIONS SUMMARY

Service to Congress

In keeping with its responsibilities to reexamine constantly the quality of its support to Congress, the Library should continually assess its current services with a view to enhancing its efforts for Congress, and improving its central coordination and recordkeeping of congressional requests. Toward these goals, the following specific recommendations are offered. However, improving the quality and effectiveness of the Library's operations at all levels and in all areas leads to improved service to

Congress. Many of the MAP recommendations, such as expediting materials processing, improving methods of access to the Library's collections, and expanding translation services will certainly improve services to Members of Congress and their staffs. A number of these recommendations are not included under the heading "Service to Congress," but are located throughout the document under other categories.

•85. Use a single inquiry tracking system and data collection mechanism for all congressional requests in the Library to provide better tracking of the requests and the ability to produce management reports in a variety of forms, including time spent on requests and statistics by state, congressional district, and subject [DOC 61].

86. Create annual "Library of Congress and Your State" reports for distribution to the 535 congressional offices to enumerate non-CRS services to each state [DOC 62].

87. Broadcast programs on the congressional cable system which deal with foreign areas, folklife, the Library itself, or other cultural matters of general interest [DOC 62].

88. Establish a position of Public Policy Scholar in Residence. Organizationally, the program would be a part of a Library-wide Scholars in Residence program, associated with the Council of Scholars, and with the Public Policy Scholar located within CRS. In addition to conducting his or her own research, the visitor would contribute to activities in support of CRS's service to Congress, including the preparation of reports within the guidelines of CRS and participation in Public Policy Institutes, lectures, seminars, and programs for congressional Members and staff [DOC 63].

Foreign Language and Translation Service

*89. Develop an online foreign-language bibliographic citation file; make the file available on SCORPIO to all LOCIS users. Provide full translations on request to Congress (using appropriated funds) and to external clients (on a fee-for-service basis) [DOCs 64, 79].

90. Develop a system for tracking and gaining bibliographic control over internal Library translations and translations available either in the Library's collections, from other institutions' collections, or commercially [DOC 65].

*91. Acquire the Nationai Translations Center from the University of Chicago [DOCs 65, 66, 67].

*92. Consolidate the foreign-language capabilities of CRS and FRD in an expanded National Translations Center. Provide appropriated funds to support all language services on a top priority, interactive basis to Congress and CRS, and provide mechanisms for the Library to receive monies for language services performed for fee-paying clients, including the Supreme Court [DOCs 65, 68].

Law Library

*93. Develop a strategic plan for completing class K and restructuring class JX. Explore possibilities for obtaining support for doing the work from or through the AALL National Legal Resources Committee [DOC 69].

94. Develop a plan for fee-based services [DOC 70].

95. Improve the efficient use of legal information resources by participating in formal and informal referral networks [DOC 70].

96. Conduct a systematic evaluation of the foreign law collections for completeness, currency and objectivity. Consider repackaging this information for sale to other libraries [DOC 70].

*97. Form a separate advisory body as soon as possible for an expeditious review of organizational options for the Law Library, with a recommendation to be given to the Librarian by the end of the year to coincide with the planned submission of the report to the Librarian of the AALL National Legal Resources Committee [DOC 71].

Fee-Based Service

98. Redirect the FRD research function from exclusively foreign-area studies to also include analysis of domestic subjects [DOC 72].

*99. Establish a fee-for-service element in the Library, tentatively called the National Center for Research and Analysis. Transfer all FRD staff and functions to become the initial core staff of the center. As soon as feasible, transfer the transfer-of-funds programs from the Science and Technology Division, assign the National Translations Center, and reassign the translations functions of CRS to the center. Locate all center functions in Capitol Hill buildings [DOCs 65, 66, 67, 72, 73, 74].

Chapter V -- Broaden and rationalize LC's national library service to its external constituencies

Scope: Because our national library services reach so many constituencies, this chapter includes recommendations in a number of areas, not all of which are necessarily related to each other. A major area covered here is the Library's communications program, especially for the in-person visitor, as well as those who may never use the Library directly; this encompasses Library publications, use of broadcast media, and exhibits. Relations with other libraries are treated here and include the National Reference Network proposal, making the Library's data bases available to other libraries, sharing the collections using new technology (American Memory), a library liaison function to facilitate access by librarians to the Library and its services, and a research and development function to investigate issues in the field of library and information science. Reference is made also to the Library's international role. Provision of bibliographic services, already well established as a national library service, and preservation, including its national and international implications, are treated in Chapter II.

ISSUE SUMMARY

Communications

The Library's communications with its varied audiences are not as well coordinated or focused as they should be. The institution's ability to exercise a leadership role requires that its identity be better known. By contributing to the education of the general public through print publications, media broadcasts, and exhibits, the Library will establish its identity and build good will and public support. In addition, the Library should do a better job of communicating what services it provides and what services are provided by others.

The Library does not have a coordinated and widely known policy for dealing with visitors. Limited information services are available at entrances to LC buildings; all information services in evenings and weekends must be provided by the Library's Police, who are neither recruited nor trained to perform this function; there is a general lack of signage to assist and direct visitors; only about 15 percent of the Library's many visitors are given any kind of tour; our only orientation program (the slide show in the Jefferson Building) is about 10 years old and is often out of order. Further, without a specific program to serve visitors, many come into reading rooms for assistance, which causes disruption to research activities.

The ways in which various media might be used to reach various audiences has not been fully refined. Communications in the broadest sense should make a major contribution toward establishing an identity and context for the Library. The Library lacks a coordinated program of well-executed journal articles and in-house publications, television broadcasts, books, and traveling exhibits that would build good will and public support. The best "public relations" consists of transmitting interesting ideas and associating those ideas with the Library, but good communication is more than just public relations.

Relations with the Nation's Libraries

A clearly defined and coordinated program for national library service does not exist.

Reference and information services in the United States suffer from a fundamental difficulty: the libraries of the nation lack a mechanism, or a system, that would bring logic to these services. For decades the Library of Congress has served as a library of "last resort" for interlibrary loan. It also has served as a final resort for some librarians in responding to reference inquiries, when they think to use the Library. But the lack of a broad national system for general inquiry referrals is conspicuous. The goal of the library community in America is to provide free, universal access to information. For the community to come close to achieving this aspiration, it must organize; it must sort out the work so that each does what it does best. Waste through unnecessary duplication of collections or service results in an ineffective national library program. The direct effect on the Library's service to scholars is that too many of its resources are committed to general information services, which could be provided elsewhere, and too few are available to help scholars. The Library has not made a concerted effort to make its services and collections widely available to those who cannot conduct their research on-site. Public access to online files has been limited to the Library's reading rooms. Many of the items in the Library's collections, because they are rare or unique, can be used only in the Library's reading rooms.

Though not formally recognized as the "national library," the Library has functioned in this role for many years. It is by strengthening this role that the Library's services can be most effectively coordinated and delivered to the nation. Substantial resources have already been allocated to the development of products and services that can be used by other libraries to help them meet the information needs of their users. While the Library is perceived as being a valuable asset to the nation and a source of support to the nation's libraries, LC's structure and activities are not well understood, nor are the parameters for participation in or access to its programs, services, and collections widely known to the target groups they are designed to serve. The Library has not done a very good job of advertising its services and resources, nor has it helped the libraries of the nation get easy access to them.

The Library has conducted some research, for example, in preservation, and communicated the results of that research to the nation's libraries to the benefit of all. However, neither the Library nor other research organizations have conducted sufficient research in the field of library and information science, on such issues as, for example, how people use libraries, how bibliographic and search systems are used, methods used in browsing, reference accuracy, and catalog use. Libraries expend significant resources in cataloging, development of online systems, staffing public service desks, and so forth, but lack basic information to enable them to plan and allocate resources effectively. The Library has not examined the needs of the scholars and researchers designated as a primary constituency for its services. As a result the Library does not know how well these individuals are being served by the existing services, whether services may no longer be needed, whether there are new services that are more important than existing services, whether there are services that are so important and essential that they should be implemented in addition to those services already available, and whether we are truly furthering the cause of scholarship and research with our current methods of operation.

While the Library has been active internationally in a number of areas (scholarly activity, the exchange of materials, guidance and assistance in preservation efforts, distribution of the Library's bibliographic records, development of bibliographic and technical standards, and interlibrary loans), these activities have not necessarily been coordinated as part of a "strategic" international effort. Further, the Library has not fully seized the opportunities available to it for participation and leadership in the international library community.

RECOMMENDATIONS SUMMARY

Communications

*100. Establish a policy in which the Library considers the presence of visitors as a primary opportunity to fulfill its mission and provides a full range of services to the various classes of visitors who come to LC. Actions taken as a result of this policy should include:

a. Definition of public spaces open to tourists and other casual visitors, with placement of signs directing such persons to those parts of the Library which are open to visitors (such as the Great Hall, exhibit areas, the gift shop, the cafeteria, and/or other areas to be determined), and signs in all other areas of the Library, stating that the area is open only to staff, researchers, and others with authorization.

b. Improvement of coordination among the areas of the Library that deal with visitors.

c. Definition of levels of services to be provided to the various types of visitors to the Library.

d. Creation of a system for determining the specific needs/interests of the various types of visitors and guiding them as appropriate. (This should include staffing of information desks at the entrances to the Jefferson and Madison buildings during all public hours, including evenings and weekends.)

e. Establishment of regularly scheduled tours that are tailored to the interests of various types of visitors, including regularly scheduled general tours for the casual tourist/visitor.

f. Creation of orientation exhibits and other programs that attract the casual visitor and create an interest in the programs and services of the Library [DOC 75].

*101. Develop a general, coordinated communications program, if necessary in increments over a reasonable period of time, to implement programs such as:

a. Increasing activity in the area of broadcasting, publications, and other external communications [DOC 76].

b. Rationalizing and enlarging the Library's scholarly publications and exhibits through focused series. Each series would relate to a single theme and would comprise a range of publications, exhibits, and other events and products large and small [DOCs 76, 80].

c. Forming an associates or friends group to increase support for the Library [DOC 76].

d. Continuing to refine and improve the handling of day-to-day public and press relations by instituting a procedure for "damage control" against "bad news stories," and by changing the focus of the Information Office to emphasize press relations [DOC 76].

e. Reinvigorating the traveling exhibit program [DOC 76].

f. Creating a national communications network with regional and local impact by supporting the full development of the States of the Nation program [DOC 85].

102. Expand the present Educational Liaison Office to provide focus for a variety of activities in support of educational programs, for example, assisting with researcher training, the preparation of school curriculum aids associated with Library exhibits and activities, and supporting divisional intern programs. Consider the establishment of a separate special events unit [DOC 77].

National and International Library Relations

*103. Establish a central, automated public inquiries unit to record and distribute questions mailed or phoned directly to the Library and those referred to the Library through a national reference network, of which the Library would be a key node. The Library would help organize state libraries, major research libraries, regional consortia, and the like to forward to LC questions they are unable to handle, and the Library would direct to these same libraries queries received here but best handled locally [DOC 78].

104. Implement a pilot project to evaluate the desirability, utility, and feasibility of increasing online access to the Library's files by other libraries [DOCs 78, 79].

*105. Revitalize the role of the Library in its relations with other libraries; make its programs, services, and collections better known; and make greater use of its staff experts and library scholars by:

a. Developing an organizational focus, such as a Library Liaison Office. A primary responsibility would be to act as a focal point for libraries who do not know whom to contact for assistance.

b. Developing a strategic plan for the Library's programs and services to libraries.

c. Making the Library's services to the nation's libraries more widely known through such things as publications, exhibits at library conferences, participation in meetings of library organizations, and so forth.

d. Expanding the training programs and providing consultation service for the national library community. These programs should be based on the needs of libraries matched to the ability of the Library to meet those needs [DOC 80].

*106. Establish a center for research in library and information science The center would be concerned with such issues as the purposes and content of cataloging products, the application of technology in libraries, and the avenues through which end users seek information. The center would perform several functions: in consultation with the library community, develop a research agenda; conduct basic and applied research; encourage the conduct of basic and applied research by individuals, other libraries, and the commercial sector; serve as a clearinghouse for information about research in progress, completed, or applied; publish the results of its own research and selected research conducted elsewhere; conduct conferences and symposia; and obtain grants from foundations, business, and other sources to help support its activities [DOCs 81, 82].

107. Develop an organizational focus for the development of international library service to include

a. developing a strategic plan for the Library's international library programs;

b. obtaining increased funding for international travel;

. broadening the program for the redistribution of international bibliographic records and increasing access to these records by Library staff and users;

d. developing and publicizing a clearly defined protocol for service to international borrowers or users;

e. developing criteria for determining at what point service cannot be provided free of charge; and

f. expanding the training programs and providing consultation services for the international library community [DOC 83].

108. Place on optical disk potential high-use, high-value collections that are logical units to facilitate access to their contents and make these materials more widely available around the nation, as envisioned in the American Memory program [DOC 84].

ISSUE STATEMENTS

PREPARED BY THE

MANAGEMENT AND PLANNING COMMITTEE

FOR SUBMISSION

TO THE LIBRARIAN OF CONGRESS

WITH ITS REPORT

TABLE OF CONTENTS

PART II

Subject: ASSIST

I. Statement of Issue

There are serious deficiencies in present Library systems for (1) obtaining services and processing administrative actions in a timely manner; (2) getting status information about those requests; (3) obtaining timely information about regulations, laws, and so on affecting the Library; and (4) producing management information needed to evaluate basic services. As a result, basic services are often provided in an inefficient and ineffective manner. This situation seriously impedes the ability to meet program objectives throughout the Library.

The burden of monitoring service requests is placed on users, who must track progress and often spend considerable time moving them from step to step. Service providers are too often passive recipients of requests and do not generally have systematic or reliable methods for distributing information, keeping it up to date, or providing feedback on outstanding requests. Nor has the Library placed any importance on providing users with feedback.

Ongoing management oversight is minimal, and there are few, if any, management information systems to support evaluation. Rarely are users asked to evaluate the services they receive. When modifications in services or procedures are undertaken, user needs are often secondary to other process considerations. Little attention and few resources have been devoted to improving the administrative and management support systems in the Library, and the few local automated systems used by central support offices were not planned or intended to be used by requesters.

These deficiencies are amply documented in the Arthur Young Interim Report, and in comments and anecdotal information provided to MAP in brainstorming sessions and by other means.

II. Analysis

A. ASSIST. MAP proposes development and implementation of an interactive online administrative information/communication system which will, in concert with other actions, help realize many of the elements of the Vision for the Year 2000 and will generally help the Library attain the MAP visions and values.

The system proposed, which might be called ASSIST (for Administrative Service and Status Information System), is intended to meet four objectives in order to address some of the deficiencies outlined in the statement of issue. The system is envisioned to be

(1) a delivery system, electronically transmitting and thereby expediting, service requests. Many efficiencies should result, such as reduction of interoffice mail, elimination of form inventories, and reduction in the "hand carrying" now required to expedite actions.

(2) a tracking system, providing online information to requesters about the status of those actions. As a result, less time will be spent calling to find the status of service requests. Also, user access to the system will eliminate duplicate manual or automated files which currently exist throughout the Library.

(3) a data bank of information. Using advanced search software, users will have rapid access regulations and other vital information. There will be levels of access, determined by need and security requirements. Candidate files for this data bank are listed in Section IV, with suggested

priorities for implementation. (To illustrate, automating the LCRs could be expected to have the following benefits: elimination of the need for 175 people to file several dozen annual issuances on average and an additional 800 individuals who have partial sets of the LCRs in Supervisors Manuals; assurance that all staff are consulting the same version of the regulations and other documents, thus avoiding administrative mistakes or requiring excessive consultation with central support offices; and more reliable and faster identification of relevant materials through use of advanced search software.)

(4) a management reporting system, assisting with workload management, oversight, evaluation and audits. These reports will provide valuable information to top management, service providers and users alike in assessing services and considering how processes can be improved. Much of this information is not currently available; this may contribute to the present deficiencies of many of our basic services.

B. RELATIONSHIP TO OTHER ACTIVITIES.

To be successful, any effort to address these problems will necessarily involve a number of different but interrelated initiatives; some will be addressed by other MAP recommendations, some may be undertaken in response to Arthur Young recommendations, others will require additional management efforts. The system proposed here, and the other recommendations of the Basic Services Subcommittee, are simply tools to help management. If these tools are going to be effective, the Library must also address the underlying management deficiencies. To this end, the following initiatives are needed:

(1) effective management oversight of all operations at all levels;

(2) managerial accountability at every level for institutionalizing the Library's values and working toward achieving agreed upon program goals;

(3) development/implementation of a systemic planning process to set those goals;

(4) provision of adequate staff and nonpersonal resources to meet the goals;

(5) institutionalization of a problem-solving process to deal with issues which affect a number of programs and organizations;

(6) commitment to simplify and expedite procedures wherever possible;

(7) commitment to develop, maintain and distribute management information to basic service users; and

(8) discipline in all basic services operations to maintain the most responsive, timely, service-oriented operations possible.

III. Options

There are a number of ways the Library could meet the objectives of ASSIST. Each must be evaluated carefully with regard to how long it would take to install; how best to provide access; and how, where, and with what resources the system will be administered. No matter which approach is taken, the system(s) will have to be phased in and the Library will have to make a commitment of significant resources in all of the basic service providers offices and in ACO.

Some of the options for creating the system are (1) create the system on the mainframe in-house; (2) put the system on the mainframe using commercial software (if available); (3) create a network for certain parts of the system (such as the delivery and tracking activities), using either the mainframe or microcomputers; (4) contract for the system with a private sector or other government agency; (5) split the system into separate components and provide them through a combination of mainframe, microcomputers, CD-ROM, external service bureau.

[Note: Some of the system requirements were raised by departments when specifications for the Human Resources Data File were developed; however, most of this proposal will not be addressed by that project, and those portions which are planned for inclusion are not scheduled for implementation for up to five years from now.]

IV. Candidate Functions and Files for ASSIST (listed in suggested priority order within each category):

A. Request/Status of Request/Data about Requests Networks:

(1) Library Support Services Office--requests for services (such as relocation assistance, carpet tile replacement, wall painting, furniture maintenance, safe combination changes, office keys, replacement of IDs, installation of new electrical outlets, adjustment of ventilation and heating/cooling).

Current system: requesting organizational unit fills out Request for Service form, and waits until work is performed; a large percentage of the requests are not acted on quickly, and often necessitate follow-up calls to determine status, obstacles, estimated completion dates. Divisions and/or departments typically maintain manual files, and "tickler systems" to keep track of these requests; LSSO also maintains a local micro-based file of requests but has no regular method of communicating status to requester.

(2) Procurement and Supply Division--requests for services, equipment and supplies (such as purchase requisitions, supply requisitions, locksmith services, etc.).

Current system: division or department submits requisition and waits for a copy of the purchase order, indicating that the request has been acted upon, or delivery of supplies. P&S provides a printed Supply Catalog from which requesters choose items needed; this catalog is not automated.

(3) Automated Systems Office--requests for service, problem reports, etc.

Current system: similar to LSSO system.

(4) Library Environment Resources Office--requests for space survey

Current system: similar to LSSO system

B. Library of Congress Regulations and Laws Affecting the Library:

(1) Library of Congress Regulations

Current system: manual (looseleaf) in 12 volumes; 175 full sets are located throughout the Library; 800 partial sets (Supervisor's Manual); approximately 20-40 new issuances annually; many copies are probably either incomplete or incorrectly filed.

(2) Citations to Laws Affecting the Library of Congress.

Current system: List maintained by Office of the General Counsel; no regular schedule for updating or procedures for distribution known.

C. Personnel and Labor Relations Information Files:

(1) Personnel and Labor Relations Office Policy Memoranda

Current system: part of the Supervisor's Manual which is also a subset of the LCRs;

copies are located throughout the Library.

(2) Recruitment and Placement Procedures

Current system: Recruitment and Placement Office maintains printed procedures for each of the labor agreements and other systems; there is no regular distribution. Some materials have been provided to panel members during panel training.

(3) Collective Bargaining Agreements.

Current system: printed copies of the labor agreements are provided to each affected employee; the agreements are indexed, any cross-agreement comparisons must be assembled manually.

(4) Citations to Court Decisions Regarding Library Personnel Policies/Procedures.

(5) Citations to Arbitration Decisions Regarding Library Personnel Policies/Procedures.

(6) Citations to FLRA Decisions Regarding Library Labor-Management Activities.

(7) Procedural and Policy Memoranda from Special Emphasis Programs (Affirmative Action, Handicapped, Hispanic and Women's Programs).

(8) Affirmative Action Plans.

(9) Underrepresentation Data.

(10) Library of Congress Staff Skills Inventory.

(11) Personnel Security Office Policy Guidance and Other Memoranda.

(12) Staff Training and Development Office Course Catalog.

D. Financial Management Information Files:

(1) Appropriations Hearings and Committee Reports.

(2) Time and Attendance Procedures.

E. General Information Files:

(1) Library of Congress Annual Reports.

(2) Library of Congress Telephone Directory.

(3) Calendar of Library Events.

(4) Library of Congress Information Bulletin.

Subject: The Institutional Value of Service in Providing Basic Services

I. Statement of Issue

In discussing basic services (those administrative services that the Library provides to itself), the subcommittee ran into a group of general problems related to the provision of service. These include (1) perceptions of a lack of responsive and consultative service, (2) inadequate flexibility and a lack of back-up systems for basic services, and (3) Lack of coordination and accountability for services that cross organizational lines.

These problems (which were raised in brainstorming sessions with Library managers, in suggestions to the MAP Committee, and in discussions within the committee) result in reduced efficiency, delays in the provision of basic services, and lowered morale for both users and providers of basic services. Such problems in the delivery of basic services translate into reduced effectiveness in the program areas of the Library.

The MAP Committee, in a vision statement for the year 2000, has recommended seven institutional values which, we hope, will define the culture of the Library. The first of these values is service. The problems listed above are symptomatic of a need to realize this value and the suggestions that follow are meant to be a start towards that goal.

II. Analysis

The problems mentioned above do not necessarily extend to all the administrative services provided by the Library. Positive comments regarding the provision of service have also been received. However, the problems are widespread and generic enough that it is appropriate to discuss them as a whole, rather than trying to specify problems and solutions in each unit or division. It should also be said that these problems are not unique to the administrative services of the Library. The preliminary report of Arthur Young in September 1988 identified the central human resources management and financial management areas of the Library as lacking a strong service orientation and lacking accountability and performance management. There are no doubt other areas in which the realization of service as a value would show positive results.

Where problems exist, the causes tend to be traced to three areas:

(1) the attitude of offices and individuals that provide and request services;

(2) inadequate resources; and

(3) the systems (in both the wide and narrow sense) used to provide services. Since we are dealing with attitude and resource problems, as well as system problems, it seems obvious that any solutions will have to be for the long term.

The persons who are responsible for providing basic services must have the responsibility for implementing any actions that are agreed upon to solve these problems and must be accountable for the results. They should be fully involved in the development of any implementation plans that are based on recommendations made by the MAP committee.

III. Options

A. Build systems for increasing responsiveness into current structure. Such systems could include inclusion of service-related skills in all job-requirements; training in such skills; orientation programs and staff exchanges between users and providers of service; organized dialogue between users and providers; systems for ongoing evaluation of services and establishment of standards.

Pro: Increased responsiveness, coordination and efficiency through better communication and understanding of needs; higher morale for both users and providers.

Con: Requires a lot of staff time and energy to implement most of these systems; can cause short term frustration; results are not immediately seen.

B. Increase administrative flexibility and accountability for service through broader position descriptions or other organizational changes.

Pro: Greater flexibility and efficiency; better back-up systems; improved service response and accountability; improved morale for staff who are comfortable with change and like a challenge.

Con: Takes time and resources to implement such changes; requires extensive training for staff; lowered morale for staff who are not comfortable with change.

C. Evaluate existing systems to see if resources are adequate and whether simplification of procedures or improved layout will improve service.

Pro (if improvements result): Increased responsiveness; better morale for users and providers; improved efficiency and use of resources.

Con: Requires time and resources to evaluate systems; results uncertain.

D. Evaluate possibilities for decentralization. Look at each administrative function independently to see if decentralization will be effective. This is not a general panacea, but an option for specific areas.

Pro: Greater responsiveness to user needs through closer contact and better communication; improved morale for service providers and users.

Con: Decreased flexibility in provision of specific services; problems of coordination and control; possibility of an added layer of bureaucracy; increased need for resources while change is implemented; shakedown period.

E. Evaluate specific services to see if privatization will be effective. Again, this option requires that each area of service should be evaluated independently, since privatizing is not an all-purpose solution.

Pro: privatization transfers some morale and staffing problems out of the Library; removes costs/burdens of federal personnel regulations; may improve efficiency and responsiveness.

Con: Evaluation requires time and resources; efficiency and responsiveness results of privatization are uncertain; adds a layer of bureaucracy (need for increased contracting services); communication between user and provider more distant; privatization implies RIF's and the negative results thereof.

IV. Recommendation(s)

Options A, B, and C, although all five options are considered useful.

V. Additional Information

A. Build systems for increasing responsiveness into current structure.

(1) ORIENTATION AND STAFF EXCHANGES. The goal of orientation and staff exchange programs is to increase understanding and responsiveness on the part of both users and providers of administrative services. The more one understands about another area, the better one can work to achieve common goals. Also, "walking a mile in someone else's shoes" almost always increases understanding of that person's viewpoint. In order for such programs to work, users would have to be willing to take time to learn about the needs and problems of providers, and vice versa. The gains

would be increased communication and responsiveness and improved morale. The only negative is that such programs take a lot of time, currently a scarce resource. They therefore require patience and a strong commitment from top management in order to succeed.

(2) ORGANIZED DIALOGUE BETWEEN USERS AND PROVIDERS OF SERVICE. This dialogue could take the form of standing committees (with rotating membership) that meet to discuss problems regarding administrative services. Or it could consist of formal or informal meetings between individuals representing program areas and administrative service areas. In either case, the persons involved would be charged with working together to solve such problems as lack of phone coverage during office hours, delays in processing of paperwork, problems with the details of forms, and so forth. The advantages would be increased communication, coordination, and responsiveness. The disadvantage would be that meetings and communication, whether in committees or between individuals, take time. Persons involved in such problem solving groups can become frustrated and burnt out, especially if there are no positive results immediately apparent. Again, such programs require patience and a commitment from top management.

(3) EVALUATION OF SERVICES AND ESTABLISHMENT OF STANDARDS. Currently there seems to be inadequate documentation for making judgements on the quality and timeliness of many basic services. The fact that problems are discussed here is the result of individual comments rather than documentation of problems. Organized evaluation could take the form of record keeping by providers of basic services (for example, how long it takes to process actions such as PARs or payment of vouchers) or it could take the form of surveys which determine the satisfaction level of users and ask users to document any problems. Other types of feedback are also possible, the precise form of feedback being determined through consultation between users and providers. A crucial part of evaluation is the development of standards for service delivery that are known to both providers and to users of services. It is to be hoped that standards can be developed through consultation between both parties. Such standards can help to define the responsibility of managers of basic service areas. Evaluation systems and standards give managers a basis for decisions on what services need improvement and may help determine how to make any needed improvements. They also help managers and staff evaluate their own performance and establish goals. The difficult aspect of such systems, once again, is the need for an investment of time and effort in order to show results.

(4) INCLUSION OF SERVICE-RELATED SKILLS IN ALL JOB REQUIREMENTS WITH APPROPRIATE TRAINING AS REQUIRED. Although the realization of "service" as a value is obviously not something that can be achieved in a day, it seems that some fairly basic steps can be taken. These are (a) to publicize the values adopted by the MAP committee and the Librarian; (b) to include "the ability to work with other people in a positive, service-oriented manner" (or other appropriate language) as one of the quality ranking factors in all job postings in the Library, with the percentage weight to vary according to the job, but never under five percent; and (c) to include the same ability in the performance requirements of all jobs and hence as a part of annual performance appraisal. It will be noted that "attitude adjustment" training is not included as a recommendation. Most people need incentives to change attitudes and will take any training of this type with too large a grain of salt to make the training worthwhile. On the other hand, if the training is related to specific skills which can be used to improve performance (and thereby evaluations) and/or qualifications for other jobs, the reaction may be positive. The negative is that training requires time and money, for results that are long term.

B. Increase administrative flexibility and accountability for service through broader position descriptions or other organizational changes.

By increasing the breadth and flexibility of position descriptions in administrative service areas, the Library would be attempting to create a more versatile staff. This would help solve problems regarding the lack of flexibility in provision of service and the lack of back-up systems for provision of service. It would also provide managers of basic services more freedom in anticipating the needs of program areas. It is also hoped that broadening the scope of jobs will increase the morale, and therefore improve the attitude, of staff who see themselves as stuck in dead-end jobs and who like the challenge of new responsibilities. The difficulties of changing position descriptions are (1) it takes time to rewrite, negotiate, approve, and so on, (2) some staff are comfortable with narrowly written PDs, and (3) new PDs require extensive training for staff who may have to learn new functions. Needless to say, this is a long-term project. However, it may be quicker than some other solutions. When a Government employee has an attitude problem regarding their job, it's often easier to change the job than to change the person or to change their attitude.

In addition to changes in position descriptions, other organizational changes may be possible to increase flexibility and accountability in basic services. These might include widening the spans of control of certain divisions, sections, directors, etc. in order to expand their ability to call upon staff during periods of backlogs or personnel shortages. Another possibility is to increase staff flexibility through increased use of rotational job assignments. A third possibility would be to create project managers, liaisons, or similar positions who would be responsible for coordination when services cross organizational lines, as frequently occurs. Such changes would have to be looked at carefully as part of a full-scale review of the organization, which would also take into account the other questions and options raised in this document.

C. Evaluate existing systems to see if resources are adequate and whether simplification of procedures or improved layout will improve service.

(1) RESOURCES. A central problem for many areas in the Library has been decreased resources, due to budget cuts or freezes, at a time of increased demand. This applies to administrative service areas as it does to the rest of the Library. It is particularly a problem in these areas, because there are few, if any, administrative services which LC has the discretion to stop doing,such as procurement, accounting, cleaning, protective services, phone service, recruitment, and hiring. Decentralization and privatization may change the way basic service resources are handled, but they won't necessarily change the amount of resources required. Major improvements in the timeliness and quality of basic services may depend greatly on increased resources. Therefore, evaluation of resources should be a major part of any review of these areas and any decisions should take resources into account.

(2) SIMPLIFICATION OF PROCEDURES. One means of dealing with the problems of responsiveness, flexibility, and coordination is to simplify procedures. Although admittedly easier said than done, such simplification may save resources for both providers and users. Basic services providers, in conjunction with users, should use work flow analysis and other tools to evaluate their procedures with a view toward simplification. Although such an effort will take time to complete, it should produce results in the long run. Simplification would be welcome in such areas as the hiring process, the processing of PARs, and the processing of time and attendence, to name but a few.

(3) IMPROVEMENTS IN LAYOUT. One of the frequent complaints is that persons entering some administrative offices can not tell where they should go for service or to which person they should address their questions. All service areas should have a clearly marked reception area, especially those in the human resources area and others which receive staff members on a regular basis. If such a reception area can not be staffed at all times, due to space or staff shortages, there should at least be some guidance, via signs, notices, and so forth about how a person entering the area should proceed. This would not seem to require much effort, and would give a good impression to those who need assistance. There may be other improvements in layout that would increase responsiveness of service. This should be kept in mind in when evaluating our current operations.

D. Decentralization of specific administrative functions

Each administrative function should be evaluated independently to see if decentralization would be effective. It may be appropriate to decentralize certain administrative functions to the department level, or even to the division level. For example, it might be effective to have the personnel specialist positions currently in Recruitment and Placement become a part of the administrative offices of each department, in order to increase their responsiveness to the special hiring needs of the departments. On the other hand, it seems counterproductive to decentralize a function such as the Library Police, whose services can not be easily related to specific departments.

Decentralization has the benefits of better communication between user and provider of service and of increased responsiveness to user needs, since the provider becomes a part of the organizational entity that uses the service. This can increase the morale of both parties. On the other hand, decentralization can lead to decreased flexibility. If each department has a single personnel specialist, for example, it would be difficult to deal with a backlog in that person's work. A large pool of people capable of doing a job increases flexibility.

Decentralization also poses problems of coordination and control. In administrative services that are governed by government-wide regulations or laws, it is easier for a centralized entity to keep track of changes and make decisions than to have five or six areas attempting to do the same thing. Good systems for coordination of decentralized service can help alleviate this concern but this will require some resources in the form of staff time. It should also be mentioned that decentralization will not be efficient if it means the adding of another layer of bureaucracy. If a function is decentralized but another checking function is added at a centralized point, much of the value of decentralization is lost.

Although in theory decentralization should not mean additional staffing resources in the form of new positions, there are inevitable costs involved, such as staff time spent in planning, negotiations, and paperwork or the decreased efficiency that comes during the shakedown period of any new administrative structure.

E. Evaluate specific services to see if privatization will be effective.

No further discussion, other than to emphasize that each administrative function should be evaluated independently when examining the option of privatization. The advantages and disadvantages will differ in each area.

Subject: Line/Staff Relations

I. Statement of Issue

There is a concern in the Library that some persons in staff positions are making decisions that should be made by persons in line positions. In addition it is perceived that staff officers sometimes view their function a regulatory rather than service oriented.

II. Analysis

Line managers are personnel who have direct control over the activities that constitute the mission of the Library. Staff are defined (for purposes of this document) as personnel who advise and support line managers in carrying out their duties efficiently; these include entire organizational units that exist solely to provide staff functions, for example, the Automated Systems Office, Budget Office, Office of General Counsel, Personnel Office; also included are staff positions within mission-oriented departments and divisions, such as administrative or executive officers, department/division secretaries, and so forth.

Although staff positions have a decision-making role, especially with regard to the operation of their own areas, they should not be independently making decisions that affect the mission of the Library. When staff are making decisions that should be made by line managers, a perception is created that processes (such as the budget process) are driving the mission rather the mission driving the internal processes. There are various reasons why persons in staff positions make such decisions. Among these are (1) upper-level line managers give the authority to staff persons or organizations, whether consciously or not; (2) overworked or insecure line managers may find it convenient to delegate to trusted staff persons within their areas the decision-making responsibilities that they should have retained; (3) lower-level line managers become comfortable with staff making decisions because it reduces their accountability; (4) staff individuals may take over decision-making without delegation for various reasons and continue because of lack of line management oversight; (5) staff organizations or individuals become insular in their out look and lose sight of the fact that they exist to facilitate rather than to control; (6) the lack of an overall plan and/or mission and of regular consultation within the Library allows processes to become implanted without regard for their effectiveness.

Delegation of decision-making responsibility to staff, without accountability, can cause morale problems and discourage initiative among line managers. Sometimes it may appear that staff are making decisions when in fact, without attribution, they are merely communicating decisions made by line managers. The Library needs to reduce such misperceptions, to ensure that decision-making is done by the appropriate persons or organizations, and to make certain that the mission of the Library drives its processes, rather than vice versa.

III. Options

The options below are not mutually exclusive.

A. CLARIFICATION OF LINE AND STAFF RESPONSIBILITIES. Make line managers aware that they have authority, responsibility, and accountability. They need to view staff advice as only that and retain decision-making responsibilities. There needs to be a positive, service-oriented approach to staff functions. The "work-to-rule" or "by the book" orientation to staff work should be replaced by an emphasis on service and problem solving. Staff personnel should be evaluated on how well they serve.

B. REGULATIONS AND PAPERWORK REEVALUATION. Reevaluate the Library's regulations and paperwork requirements to simplify them. They should be recast to emphasize best case situations rather than worst case. This will enable line managers to understand the regulations and apply them with less reliance on staff. The Library should be mindful that it is not required to follow all the same policies that the Executive Branch is bound to follow.

C. PLANNING. Ensure that planning at all levels is a line responsibility. Involve lower-level line managers in every appropriate planning process, especially annual management plans, and ensure that all managers are held accountable for attaining stated planning goals. Where appropriate this should include budgetary decisions.

DOC 4

Subject: Provision of End User Automation Support Services

I. Statement of Issue

End user automation support services are those services required to facilitate effective use of computer technology by staff who can use automation to perform their duties. Although the focus of this recommendation is on support of microcomputers, use of the mainframe in support of localized applications and for such packages as SAS and ROSCOE is also covered.

II. Analysis

The expertise and resources required to adequately support end user needs are unevenly available throughout the agency. In some areas, such functions as individualized training, initial troubleshooting, localized applications programming, customized documentation, and needs assessments are not provided or are inadequately provided. Offices performing critical basic functions of the Library are unable to take advantage of fundamental computer capabilities, which impedes agency-wide productivity and results in duplicative efforts and inefficiencies.

The objective is to ensure agency-wide support for all end users.

III. Options

A. Broaden ASO's scope to include adequate support to end users, charging ASO with development of an information technology center that is responsive and consultative in its approach to serving end users.

(1) Pro: Facilitates agency-wide planning and standards; promotes efficient use of mainframe; provides Library-wide base of information and expertise.

(2) Con: Localized user requirements are not met since this option does not lend itself to customized user support; automation staff, who are removed from the user environment, must interface heavily with users; departmental priorities may not be met easily.

(3) Funding options: seek increase in appropriated funds for additional staff in ASO; reprogram existing ASO positions from mainframe activities.

B. Institutionalize a combination of centralized and decentralized end user support, charging departments with development of programs to achieve an appropriate level of service, charging ASO with creating an Information Technology Center that is responsive and consultative in its approach to serving departmental automation groups, and creating a mechanism for inter-departmental coordination.

(1) Pro: Has been successfully implemented, e.g. CRS; inserts a middle man, knowledgeable about both user and technical requirements, between data processing staff and less technically sophisticated end users; promotes customized end user support and end user independence/sophistication without fragmentation into numerous uncoordinated systems, departmental priorities are not in competition with other priorities.

(2) Con: Requires commitment of resources to coordination, planning, and automation training and support in departments, as well as ASO; requires training of more people to a higher level of expertise.

(3) Funding options: Seek increase in appropriated funds for departmental training budgets; seek increase in appropriated funds for staff to provide end user support; reprogram positions to end user support.

IV. Recommendation(s)

Option B. Institutionalize a combination of centralized and decentralized end user support, charging departments with development of programs to achieve an appropriate level of service, charging ASO with creating an Information Technology Center that is responsive and consultative in its approach to serving departmental automation groups, and creating a mechanism for interdepartmental coordination.

V. Additional Informaton

A. OVERVIEW OF CURRENT SITUATION. The Automated Systems Office is charged with providing central support for user requirements for the Library. Internal groups have been established in the Processing Services Department, the Congressional Research Service, and the Copyright Office to satisfy end-user needs which ASO has been unable to address for a variety of reasons, including lack of staff. Program planning and administration in departments with strong support groups tends to more completely satisfy user requirements. There is no formal interdepartmental coordination of support activities; however, there is considerable informal cooperation.

B ASSESSMENT OF CURRENT SITUATION. Because most available resources have been consumed by maintaining and developing mainframe applications, the Automated Systems Office has had little if any resources to devote to customized automation support for users. As a result sufficient support for such functions as local training, initial troubleshooting, localized applications programming, customized documentation, and needs assessment has not been available in the following departments: the Law Library, Management Services, the Office of the Librarian, National Programs, and Research Services. The lack of resources in these areas has affected agency efficiency in such vital areas as personnel management, information management, procurement, financial management, and services to readers.

ASO has recently reorganized to create an Information Technology Center. Creation of the center is a positive step towards serving the needs of end users. It is important that the ITC be flexible in its approach to service, and stay in constant touch with department needs.

Automation support groups, created through requests for additional positions or reassignment of existing ones, have been established in the Congressional Research Service, the Copyright Office, and the Processing Services Department to satisfy the specialized needs of their users. Each group has varying capabilities and each group is limited in its focus. These groups do not officially coordinate their activities, although considerable informal cooperation does exist. Because the groups are narrowly focused, independent program development has occurred. To illustrate, some departments have contracted for or developed their own training programs for microcomputer software packages common to the agency (e.g. spreadsheets). Departmental training programs, however, are only open to members of that department, requiring that arrangements be made in each department for essentially the same training. Some software should be taught in the context of specific work processes and should be done within the departments, however, economies can be achieved from a coordinated approach to training for such packages as DOS, spreadsheets, or data base managers where only general knowledge of the package is required.

There is only one group that looks at automation planning from an agency standpoint: CAP. CAP, however, is a policy and planning group and does not coordinate implementation of end user requirements. There is no interdepartmental group to coordinate support for all users.

In summary, the Library's planning efforts must address the full range of user requirements.

Although some Departments do have automation support groups, the level of customized support available agency-wide is uneven, insufficient, and in some instances nonexistent.

C. OPTIONS

(1) Broaden ASO's scope to include adequate support for all end users, charging the ASO with development of an Information Technology Center that is responsive and consultative in its approach to serving end users.

This approach would have to include some limitation on the hardware and software supported since it is unrealistic to expect a single organization to effectively support all of the computer products which might be required by the departments Such limitation is attractive because greater depth in the number of experts can be achieved and data, equipment, and information can be shared more broadly. There is a danger, however, that limitations to supported hardware and software, when selected by a central source, may not respond to the local needs of users. Savings in training could be achieved by funding advanced training for this pool of experts who are accessible to all users.

This option is also attractive because successful strong central support of all end users requires agency-wide planning and prioritization and promotes efficient use of mainframe technology. Departmental requirements, however, especially in adapting training, documentation, and system applications to specific needs have become so complex, varied, and often so time sensitive that it has become very difficult to meet them from a centralized resource. The need for flexibility, timeliness, and detailed knowledge of user work procedures have become critical concerns. In addition competing priorities of the various departments will cause conflicts between the departments and will place an unreasonable strain on a centralized resource.

Increasing the number of technical staff would provide more person hours for end user support; however, it would not necessarily improve the quality or responsiveness of that support. End users know their jobs, but are often unfamiliar with data processing terminology or capabilities. Because the spheres of reference for end users and data processing professionals are different, the very real possibility exists that automation staff will provide technically correct solutions to problems that are not workable from the user's standpoint.

(2) Institutionalize a combination of centralized and decentralized end user support, charging departments with development of programs to achieve an appropriate level of service, charging ASO with creating an Information Technology Center that is responsive and consultative in its approach to serving departmental automation groups, and creating a mechanism for interdepartmental coordination.

This is the recommended option. It will require time to implement and is not a panacea.

In order to adequately support end users, there must be a balance between centralized and decentralized support. The scope of activities carried out within the departments is broad and varied enough to make it exceedingly difficult for a central entity to provide adequate support. Listed are some functions which could appropriately be performed centrally: development and maintenance of large scale systems; basic training on agency supported software and equipment; training on use of mainframe software; research and development on new technologies; training of departmental automation staff and maintenance of a pool of technical experts; expert troubleshooting and equipment repair; procurement of general use equipment and software.

Departments might appropriately assume responsibility for development and execution of training programs specific to their local needs; customized system documentation; initial troubleshooting; minor repairs; procurement of specialized equipment; initial needs assessments and development of local applications; providing local expertise particularly while functional specifications are under development and new systems are tested.

The Congressional Research Service and Processing Services provide successful models for departmental assumption of responsibilities in satisfying the needs of their end users. These groups have very different focuses and provide support to users beyond the current capabilities of ASO. Customized training, troubleshooting, expert advice on equipment and software, and some programming/development for microcomputer users, and, to a limited degree, users of the mainframe are provided. Because of the greater level of expertise within these departments, many local requirements, which could not be satisfied because of the broader priorities of the agency, have been met. These departmental staff serve as translators/facilitators between end users and the ASO.

If implemented properly, this option allows for greater flexibility within the departments. In order to achieve success, however, a commitment to coordination and the development of experts within each department must be made. Departments must invest significant resources to training, troubleshooting and staff development.

D. IDEAS FOR FURTHER CONSIDERATION. Further study and input from all areas of the Library is required to develop a detailed implementation plan; however, in conversation with key automation liaison staff some specific recommendations surfaced. The ideas outlined below deserve consideration.

(1) Establish an Information Technology Center (model already under development). The Information Technology Center should wholeheartedly embrace the values of the Library of Congress as recommended by the MAP Committee. Its philosophy should be participative and consultative rather than controlling. Strong commitment to the service value is required. Its staff should bring expert knowledge to users in a setting where experimentation and innovation are encouraged.

More specifically, it should provide one place in the Library in which any division or department could send staff members to experiment with currently acceptable standard work stations. This same site should serve as a clearinghouse for demonstration copies of supported software packages. It might provide short-term loaner systems with software installed to be used at users work sites.

(2) (Establish an Assistant Librarian for Information Resources.) The Assistant Librarian for Information Resources coordinates departmental automation activities, provides for agency-wide automation planning, and end-user support. The office should be comprised of the Automated Systems Office and some portions of the Central Services Division. The scope of the office is larger than the technical aspects of data processing and paper work management. The Assistant Librarian is the principal officer managing the information systems of the agency.

Subject: Use of Cost Data for Managerial Purposes

I. Statement of Issue

The Library does not have adequate, reliable information about the costs of most of its services, programs, and activities. This is largely because of the nature and complexity of its work and the absence of accountability for determining, reporting, and controlling costs. Some cost information is available, but it is limited in extent and is generally of uncertain precision.

Without knowledge of costs the Library cannot adequately assess the effectiveness and efficiency of its operations. It cannot assess the practical impact of actual or proposed changes in its policies and procedures. It cannot develop objective measures of the costs and benefits of what it does. Without such knowledge, it is difficult if not impossible to determine the true effectiveness of services, programs, and activities.

II. Analysis

Effectiveness is one of the seven values proposed by the MAP Committee for the Library of Congress. Decisions about the effectiveness of our activities should be based on factors appropriate in each circumstance. In many cases, both tangible and intangible factors must be considered.

Most of the Library's functions are labor-intensive and should be managed largely in terms of effective allocation and maximum use of resources. Adequate and timely cost information is essential. The objective is not to eliminate things that carry a net cost, but to know the cost in order to decide if it is acceptable. Because the Library provides services and products to a variety of constituencies, judgements about costs and benefits must take into account the impact on constituents as well as the Library itself: a service or product costly to the Library may be so beneficial to others that its continuation is justified. In other cases, adequate cost information will help in establishing the proper fees to charge for products or services.

Cost information must also be used to support decisions about alternative uses of resources. Every activity has its cost, and with finite resources each decision to do something is a decision not to do something else or to do it less well. The cumulative effect of many past decisions is the present inability of the Library to perform some of its principal functions in a completely satisfactory manner or in sufficient volume. Knowledge and use of cost information are essential to the correction of this situation.

III. Options Considered

A. Continue to operate without adequate, reliable measures of the costs of the Library's operations.

B. Emphasize adherence to the concept of effectiveness, which must be supported by appropriate knowledge. Because costs are essential knowledge in deploying and maximizing resources, hold staff members acountable for determining costs, using them in decision-making, and making appropriate reports to higher levels of management.

C. Obtain professional resources to work with Library managers to establish methods of determining the overall and component costs of operations on an ongoing basis.

D. Conduct periodic measurements of costs. Hold managers accountable for reassessing operating costs on a recurring basis and for justifying to their supervisors the continuation or termination of those practices, projects, and programs that are designated for regular examination.

E. Increase the cost awareness of all staff members by publishing current information about overall and component costs, encouraging cost containment and reduction, and rewarding those who make significant contributions in these areas.

F. Implementation of the preceding options on a Library-wide basis will be a major endeavor which may take a few years to complete. Begin the implementation in the management of cataloging and related activities, where substantial resources are used in performing work which lends itself to cost analysis.

G. Share cost information and cost-determination methodologies with the library community. Work actively with libraries, library organizations, and other parties to promote cost awareness and the development and use of standards for determining and using cost data. Having common bases of comparison will enhance the validity of comparative cost and benefit data, thus helping all concerned to make more effective choices about local efforts, vendor/utility support, and cooperative efforts.

IV. Recommendation(s)

Implement options B through G.

DOC 6

Subject: Budgetary Process

I. Statement of Issue

The Library does not develop long range plans related to recognized and prioritized institutional goals. Rather, the Library's planning process tends to be separated from or to be driven by the budgetary process and to occur within lines of administrative authority rather than in terms of the programmatic strategies of the Library as a whole. In order to fulfill its mission, it must develop long-range plans--plans that provide the basis for addressing problems, initiating programs, and supporting ongoing activities-- and these plans must be based on reliable information and must drive the budget process.

II. Analysis

Any institutionalized process for long-range planning must be based on an understanding of the Library's institutional mission and hence goals, and prioritization of Library activities and resources in the context of these goals. In turn, this suggests that the Library must have accurate information about its ongoing activities, to include defensible statistical and financial data, and their relation to established goals and the resources that they use, and the ability to plan, budget, and redistribute resources across administrative boundaries. It must assure that the staff involved in the planning and budgetary processes can and do use such techniques as rolling, multiyear plans, budget by objectives which cross administrative lines; and zero-based budgets that establish success factors, and that all appropriate levels of Library administration participate in the planning and budget process. In order to accomplish this, centralized orchestration and support of the process must be provided.

The Library must accommodate its planning and budgetary processes to the realities of working with the Congress. This would include careful identification of the activities which fall within each of the Library's appropriations; providing a restructured, informational budget by objective to Congress, possibly replacing the current format; and attaining any required permissions of Congress to redistribute resources. This also suggests a long-term process of further educating the Congress about the Library's mission and goals.

III. Options

A. Come to agreement on the Library's mission and hence goals, and the priority of these goals; seek widespread understanding of and agreement on the mission and goals throughout the Library.

B. Educate the Congress about the mission, goals, and priorities of the Library.

C. Based on the mission, goals and priorities, mandate a Library-wide long range planning process that drives the budgetary process at all levels.

D. Assure that funding is adequate to accomplish stated mission, goals, and objectives; adjust these goals as necessary when funding is not adequate.

E. Assure that the planning and budget processes are appropriately linked. This could be accomplished by combining both functions in a single office which will integrate these two functions, orchestrate the planning and budget process through channels, provide assistance to and arrange for training for the various administrative units, provide analysis of both plans and budget for the Librarian, and the like.

F. As appropriate, establish matrix management for major Library functions that cut across multiple administrative boundaries by establishing officers and/or offices that will be provided with the planning, management, and budgetary authority necessary to accomplish their assignments.

G. Assign all resources from the Library salaries and expenses appropriation to the Office of the Librarian, so that, with Congressional approval as necessary, they could be distributed according to the Library-wide budget, which is driven by Library-wide plans. This implies the conscious decision to reduce or eliminate activities from which those resources have been removed.

H. As applicable, insist on the use of the various planning techniques, listed under Section II, as part of the planning process, and train managers in the use of these techniques, to include line managers.

I. As appropriate, give managers at all levels the authority to participate in the planning and budget process by providing careful analysis, supported by defensible statistical and financial data, rolling plans, and cogently argued budgets for their operations, and hold them accountable for the substance of these products which will become the support structure on which many of the Library's plans, and hence its budgets, are built.

J. Review statistical data to ensure consistency of record keeping and to assure support of mission and goals.

Subject: Space Planning

I. Statement of Issue

There are perceptions that resources allocated to space planning in the Library are insufficient or ineffectively used, that space requirements are not articulated with sufficient lead time to permit careful evaluation and planning, and that space considerations exert too much control over Library operations. Generally managers wished to have greater feedback and consultation. As documented in the Task Force on Future Library Needs Report of November 5, 1987, the Library currently faces a serious space problem. Space for the general collections will be functionally full by the end of fiscal 1992, space for some programs early in the 1990s may be at a premium and reconfiguration of existing space is not easily accomplished.

Without sufficient ongoing, Library-wide commitment to space planning, the Library may not be able to successfully meet this current crisis with negative effects on acquisitions programs, service and preservation of the collections, growth of special collections and basic programs, and planning of special events.

II. Analysis

The Library Environment Resources Office (LERO) is charged with space planning for the agency but, by its own assessment, has never received adequate support to meet the breadth of its charge. At the other end of the planning continuum, space planning is not specifically included in the regulations governing most organizational units and does not appear in the position descriptions of division management, who one would normally expect to be charged with some responsibility on an operational level. Such duties as recommending the amounts and types of space required by the programs managed, atmospheric considerations such as cold storage, security, and anticipated short- and long-term growth or decrease might be appropriate to include in position descriptions.

There is no agency requirement that space allocation and/or design be an ingredient in decisions about new acquisitions. In addition, there is no mandate to consider space at the operational level when additional staff furniture, or equipment is requested.

IV. Recommendation(s)

Certainly the Library should continue to build its collections and programs and should not permit space constraints alone to dominate decisions about future acquisitions or program expansions. Program planning, integrated with space planning, is needed to prevent this from occurring.

The Arthur Young Team has studied the Library Support Services Office/LERO interface. The results of that study should be given priority.

The Task Force on Future Library Needs has formulated recommendations, some of which have been adopted. There are, however, recommendations which have not been acted upon. This should proceed with all due speed. In addition, the following options are submitted in conjunction with those of the Task Force:

Option 1: Amend documents which establish the structure and responsibilities of each organizational group to include language specifically enumerating responsibilities in the area of space planning. Alter position descriptions for division management to include specific space planning duties and incorporate these responsibilities into the performance evaluation.

Option 2: Ensure that space is planned from an agency viewpoint as an ongoing process and coordinated with staff at the operational level and appropriate support services. Implementation might be achieved by (a) reassigning responsibility for space planning to the Office of Planning and Budget proposed in a separate recommendation; (b) reassigning responsibility for space planning to a standing Library-wide committee similar to CAP. LERO would serve as a technical expert, effecting (to include some of the current responsibilities of the Library Support Services Office), coordinating, and managing space reconfiguration, acquisition, and utilization as required.

Option 3: Operational managers must be encouraged to consider the impact on space, as well as staff comfort and productivity, when requesting additional furniture or equipment.

DOC 8

Subject: **Develop and Implement a Single, Institutionalized Process for the Identification, Analysis, and Resolution of Systemic Problems**

I. Statement of Issue

A. There is no clearly defined, institutionalized process, nor is there anyone with the specific responsibilities and authority, to recognize, analyze and resolve those problems that are so fundamental and/or so far reaching that they can be considered "systemic problems" in that they affect the Library as a whole or significant portions of it, or those problems that cut across service and program boundaries and hence affect units that are inextricably interrelated.

B. The current environment fosters localized or ad hoc initiatives.

II. Analysis

A. Systemic problems can relate to the Library's basic support services, such as personnel actions, or to services developed to fulfill its missions, such as collection security.

B. Current, localized efforts to solve such problems lead to duplication of effort, incomplete information for making decisions, and often no decision or action to resolve the problems. They also can lead to incompletely informed recommendations that have serious adverse impacts on units of the Library that have not been considered, thus creating new problems without necessarily solving that under consideration.

C. The MAP Committee has considered many of these problems, and in so doing has confirmed their tenacity (many have been around for years, if not decades), and the multiple, failed efforts that have been undertaken to address them.

D. Any institutionalized process to address systemic problems should be governed by the following principles:

(1) That there is continuity to the locus, policies, and procedures involved, that can be known and relied on by the Library administration and staff.

(2) That the process has the authority of the Librarian and Executive Session.

(3) That the established administrative infrastructure is integrated into the process, which neither disfranchises nor excuses those with primary responsibility for the problem areas in that they will participate in the identification and/or solution of those problems.

(4) That the process is accessible to all Library administration and staff in that the identification and analysis of these problems can either be forwarded directly or through channels to the central locus.

(5) That the process is monitored and/or controlled, in that (a) formal documentation and thoughtful definition of the identified problems are required; (b) all initiatives to identify, analyze, and solve systemic problems are reported to a single location (an individual, an office, or a data base); (c) all decisions to proceed with developing solutions to systemic problems, or proceeding with those solutions, are made by Executive Session, which includes all senior administrative staff that would be responsible for or affected by the problems; and (d) the further analysis of the problems and the

development of solutions for them are subject to continuing oversight of the content and/or schedule of the responses, to include adherence to statutes governing the administration of the Library.

(6) That widespread participation is encouraged, in that (a) the identification and initial definition of systemic problems is open to all Library administration and staff, either through channels or directly; (b) administration and staff at all levels who are most knowledgeable about the problem are involved in its identification and solution; (c) the analysis and solutions of problems are circulated to appropriate staff at all levels for commentary.

(7) That all necessary steps are taken to make the process efficient and effective. For example (these examples are illustrative, not inclusive), (a) it is subject to monitoring and an established schedule; (b) those points in the process that would lead to a new level of activity (for example, the quantification of recommended initiatives), trigger a review and approval mechanism before proceeding; (c) the participatory nature of the process, and the central involvement of Executive Session in establishing committees to deal with the problems, assures both access to a wide range of information and insights, and integration of the process with the established infrastructure; (d) participants in the process are charged to consider feasibility and resources; (e) it is linked directly with the highest level of decision making authority in the Library at such key stages in the process as the initial identification of the problem, the establishment of the committee, the review of the recommendations, and the decision to implement the solutions; and (f) problems brought to the process that are not systemic in nature are referred to the appropriate office to be solved locally and directly.

(8) That the process increases communication and creates an institutional memory for management problem solving in that information about all initiatives to solve systemic problems is made widely available, and that after the process is complete, the conclusions are publicized and a centralized archive is maintained and made available for future initiatives.

E. In developing any institutionalized process to address systemic problems, a fundamental issue is the degree of centralization to impose on the process. The various options for implementation hinge on this issue. Overall, it is assumed that at a minimum, all recommendations for solutions to systemic problems are considered by Executive Session.

(1) Since the problems under consideration are systemic in nature and affect widespread and interconnected units or programs of the Library, this suggests that a high degree of centralization is necessary to (a) assure that these fundamental problems are identified and addressed; (b) assure that the Library's central administration is integrated into the process, and that its full support is given to the committee addressing the problem, which increases the likelihood of cooperation from all Library units at all levels; (c) assure that the process will be monitored in terms of time table, adherence to principles and aspects of implementation; (d) assure that the recommendations of the committees involved will receive due consideration from the Library's central administration; (e) provide greater staff support to both Executive Session and the committees working on various systemic problems and therefore makes the process more efficient; and (f) avoid multiple or misinformed initiatives.

(2) However, the higher the degree of centralization the less likely it is that the various elements outlined under II.D.4, 6, 7.c, and 8, above, and the value of "participation" that was articulated by MAP, will occur to the same degree, if at all.

III. Options

All options outlined below, except for A, adhere to the principles outlined under II.D, above, and assume a dual track of working through channels, or directly, to identify systemic problems. Difference among the options, especially in terms of structure and authority, tend to relate to the degree of decentralization and/or control involved.

A. Maintaining the present system, albeit reporting all initiatives through channels to a central locus for information purposes. This will provide a high degree of decentralization (in terms of the larger, organizational units of the Library), which permits localized initiatives, while providing information at a single source that could prevent parallel (multiple) initiatives from occurring. However, it does not assure that all systemic problems are identified, that the initiatives will receive support from the central administration, that the committees will adhere to the principles and elements of implementation, or that the recommendations of the committees will receive due consideration. No additional resources would be necessary except to establish the central file.

B. Having all initiatives reported to, and cleared by, Executive Session, which would appoint a chair for the committee that would address the problem, establish a schedule for review, and give the initiative their complete support. This will permit decentralization and local initiatives while assuring the knowledge and involvement of the senior administrators that have responsibility for the affected areas, increase the probability that most systemic problems will be addressed, assure that parallel initiatives do not take place, and provide for some monitoring at the beginning and end of the process It would place a large burden on Executive Session which would be faced with discussing these initiatives without the benefit of analysis by staff, or other forms of staff support.

C. Having all initiatives reported through a person or office in the central administration to preview all initiatives, gathering and analyzing the necessary information and bringing proposals before Executive Session, which decides whether or not to proceed, establishes a schedule, and appoints a committee chair; to advise and assist both Executive Session and the committee; and to assure that the basic principles and procedures involved in the process are followed and that regular progress reports and a final report are made through channels to Executive Session in a timely manner. This still allows for decentralization and local initiative, since analytical recommendations to address systemic problems could still be sent directly to this individual or office and there is little to no interference in the process from the time its initiation is approved by Executive Session to the time that the final report is forwarded to Executive Session for consideration. It does, however, provide significant staff support to the process, for both Executive Session and the various committees addressing systemic problems. It is assumed that the duties involved can be added to those of extant staff, so that no new resources are involved.

D. Appointing a single officer whose duties are exclusively devoted to the solution of systemic problems, who would exercise strong, centralized control over the process as well as review the recommendations at various stages, and analyze and make recommendations to Executive Session in reference to the initial proposals, committee membership, interim and other reports and recommended solutions. Accomplishes much the same as option C, above, with greater interference (and hence control exercised by the staff of the central administration in the ongoing process. However, also provides yet further support to the process and probably will make it more effective and efficient. Conversely, it will reduce both the participation of staff in the process and individual initiative. This option would require additional funding. It is not known at this time if the process merits assignment to this position on a full-time basis.

E. Establishing a special projects staff in a new Budget and Planning Office (discussed elsewhere) both to coordinate and assist the committees on interdepartmental projects and conduct similar analyses on its own at the direction of Executive Session. This group would be lead by a single officer, as outlined under option D, and would be supported by analysts in the Budget and Planning Office. Accomplishes much the same, albeit with much more ample and sophisticated support provided to the process, and could have similar drawbacks, especially if independent analyses are conducted by the special projects staff without widespread participation within the Library. This would require additional funding for the positions involved.

IV. Aspects of Implementation

Options B, C, D, and E include the following aspects of implementation:

A. Adherence to the principles outlined under II.A, above.

B. In addition to working through channels, allowing for individuals or groups of individuals to direct forward their identification of systemic problems, within a proscribed format in order to cover specific issues to assure that they do not work at the level of a "suggestion box." These recommendations must be signed (recommendations from groups of individuals should be encouraged) and must include (1) a careful definition of the nature of the problem and its impact on the Library, and (2) identification of those offices and/or individuals within the Library who have responsibility for all or part of the problem area, and/or are most affected by the problem, and those individuals within the Library who are most knowledgeable about the problem or its effects.

C. Assurance that the committee is provided with (1) a written charge, and the authority of the Librarian's office; and (2) resources to do the job at hand, ranging from the availability of committee members and informed Library staff, through technical expertise, to clerical support.

D. Written documentation provided for both the analysis of the problem, and the recommended solutions to it, must be circulated for commentary, before any such documentation is forwarded for approval or action. This circulation will generally be to those offices and individuals, at all levels, who are most knowledgeable about the problem and must include those supervisors and administrators at the director and assistant librarian levels who are accountable for areas of operation to which the problem pertains. This written commentary must be forwarded along with the written documentation, accompanied by brief explanations of where the suggestion in the commentary was incorporated in the document, or why it was not so incorporated.

E. An interim report at the point where the problem and its ramifications are fully defined and the types of solutions can be broadly sketched. The circulation, commentary, and documentation requirements will be followed for this interim report. This interim report will be reviewed by Executive Session and should result in further instructions from them on how to proceed; instructions that could include stopping the process at the stage of the interim report, limiting solutions to those that require little to no resources, or asking for detailed and quantified recommendations.

F. All interim reports, and all final reports, will be reviewed by Executive Session, which makes recommendations to initiate the approved solutions and are responsible for assuring their accomplishment in their respective areas of responsibility.

Subject: The System for Charging for Printing Services

I. Statement of Issue

The current price structure/cost system for printing services in the Printing and Processing Section of the Central Services Division is inequitable.

II. Analysis

Charges for printing services are not directly related to complexity or staff hours required to complete particular jobs. Thus, the amount of art and camera work, the types of plates, and whether such handling as folding, collating, and binding are required are not considered in arriving at the cost of jobs. The annual operating costs of the Printing and Processing Section are determined, and then the average cost of producing one unit (currently $25 per 1000 impressions) is calculated. Users are charged this "per unit" cost regardless of how complex individual jobs are. This results in having those offices submitting simple jobs subsidizing those submitting complex jobs. Because certain departments have a preponderance of complex jobs, this situation is deemed unfair by offices with a preponderance of simple jobs. In addition, it is difficult to determine the true costs of programs using printing services because those costs are obscured by the pricing system. Thus administrative decisions are not based on accurate information.

The Central Services Division has no incentive to establish a cost-related printing services charge system. On the contrary, it has a disincentive to do so, because there would be no tangible benefits to the division while there would be increased costs due to the additional time required for estimating, calculating, and record keeping.

III. Options

A. Retain present price structure/cost system.

(1) Pro: Simplifies pricing; expedites overall time spent on jobs.

(2) Con: Inability to calculate true costs of programs; departmental perceptions of inequities in charges.

B. Develop an equitable price structure/cost system with a schedule of charges for various types of printing services.

(1) Pro: Costs to users will be directly related to complexity and time spent on jobs; Library administration will be better able to calculate the true costs of programs using printing services; eliminates perceived inequities in charges to departments.

(2) Con: Increases cost of operating the Printing and Processing Section; increases time to complete jobs.

C. Contract out all printing jobs.

(1) Pro: Same as in B above; there may be an improvement in efficiency or responsiveness

(2) Con: RIFs would be necessary; decreases morale of affected staff; decreases control of printing program; increases burden to Library's contracting operations; increases burden of dealing with GPO and regulations of the Joint Committee on Printing.

D. Contract out complex printing jobs and retain present printing services resources.

(1) Pro: Same as in C above; increases the capabilities and responsiveness of the

Printing and Processing Section for non-complex jobs.

(2) Con: increases overall costs for printing services; increases burden to Library's contracting operations; decreases morale due to decreased complexity of the work; increases burden of dealing with GPO and regulations of the Joint Committee on Printing; decreases control of the printing program.

E. Contract out complex printing jobs and reduce present printing services resources.
   (1) Pro: Same as C above.
   (2) Con: Same as C above.

(Note: According to the Central Services Division it is anticipated that in the future there will be an automated production control system in the Printing and Processing Section. If successful this system would include automated estimating and billing which would reflect the actual costs of each job relative to its complexity.)

IV. Recommendation(s)

Option B with the discretion to contract out certain printing jobs.

Subject: EEO/AA

DOC 10

I. Statement of Issue

Management support of EEO/AA efforts has been lacking in the past. There is a perception internally and externally that the Library is not as committed as it should be to being an equal employment opportunity employer. The EEO problems have absorbed resources that could have been better used elsewhere. Affirmative Action programs have not adequately focused on recruitment, selection, training, development, and placement for members of groups which have been identified as under represented, including the handicapped. The Library should strive to be a model equal employment opportunity employer commensurate with its stature as the Library of Congress and The National Library.

II. Analysis

EEO staff lack credibility with the Library staff, and the Library staff lacks confidence in the complaints' processing procedures. The EEO staff feel that Library management does trust their ability to do their job. There is a serious lack of effective communication, training, and accountability relating to equal employment opportunity. Many complaints that are filed in the EEO office are not of a discriminatory nature but rather a conglomerate of other types of staff concerns and problems, many legitimate but some without merit, but for which there is no other apparent avenue of redress. The EEO process is perceived as being too secretive, which frustrates the complainants, and those charged because little or no information is shared. The complaints process is slow, which leads to additional frustration, and sometimes additional complaints.

The Library has made efforts to hire in a nondiscriminatory manner, and analysis and comparison of minorities in professional positions compares very favorably with the Federal workforce as a whole. In upper level positions, the Library's record for minority staffing is only about average. Improvement is needed here.

III. Recommendations

A. Establish the EEO office and function independent of all personnel and human resource functions.

B. Allocate adequate resources to process EEO complaints in an expeditious manner, through increased staffing, contracting out, or other creative approaches.

C. Consider implementing recommendations from the Library's EEO office which recommended that the Library implement appropriate parts of the EEOC regulations, 29 CFR, Part 1613.

D. Create a climate of trust and honesty by integrating, at all levels, the values in the mission statement into staff orientation, training, and performance appraisal.

E. Encourage more supervisory counseling of staff and resolution of problems at the lowest organizational level.

F. Consider establishing a position of ombudsman/mediator, not to exceed two years, where unresolved problems unrelated to EEO may be addressed.

G. Process complaints in a fair and expeditious manner.

H. Improve communications process between the EEO Office and Library staff.

I. Take timely and appropriate corrective action where discrimination is found to have occurred.

J. The MAP Committee generally supports the adoption of EEO/AA recommendations made by Arthur Young in its Interim Progress Report dated September 12, 1988.

DOC 11

Subject: Consultative Management Pilot: A Proposal

I. Problem

Many Library of Congress employees feel partially or completely disenfranchised and lack a clear understanding of the purpose and direction of the organization. The communication process, in many cases, is one way; and, generally, there is lack of motivation and expectation for high performance, accountability for results, and trust in one another to be partners or team members in fulfilling the mission and goals of the Library of Congress.

II. Proposal

To establish a pilot consultative management program in a Library department or office with a minimum of 500 staff in order to determine whether this program is as feasible or desirable in a large department as it was in the Copyright Office. The effect of a pilot program could be a bigger return by the Library on it staff investment, greater job satisfaction for staff who have the opportunity for input into decisions which affect their work, resulting in a more productive work force.

III. Definition

A. Consultative management is defined as "consulting with employees on problems, solutions, and decisions; sharing information about the results; and implementing operational changes as a result of the consultative process."

B. Consultative management is:

(1) a commitment by management to consult on problems. solutions and decisions, and an opportunity for staff to participate in this process;

(2) a mutually beneficial philosophy in which all employees are encouraged to enrich the quality of their work life and contribute to the mission and goals of the Library of Congress;

(3) a commitment to open, two-way communications;

(4) a joint and cooperative effort between labor and management; and

(5) a method of working smarter together, not a concept of working harder.

C. Consultative management is not:

(1) an abrogation by management of the final authority for decision-making; nor is it a way of avoiding management responsibility for the consequences of decisions;

(2) a quick-fix answer or final answer to all operational problems;

(3) a permissive, easy or undisciplined way of doing a job; rather, it is an effective, challenging, and rewarding way of doing a job;

(4) a replacement for collective bargaining nor a substitute for the grievance procedure;

or

(5) a short range-goal. Instead, it is a commitment to a method of working together.

IV. Implementation Considerations

A. Establish criteria for selecting the participating office or department.

B. Identify a program officer position, assisted by a team, to plan, coordinate, and implement the pilot.

C. Undertake a "readiness assessment" to examine any barriers to implementation and identify employee involvement practices that best fit the particular style and ability of the organization to adapt to the changes associated with these practices.

D. Set up an effective communications network so that top management can make the organization aware of its support through such means as policy statements, rewards, and other effective forms of communication. Employee participation is enhanced by publicity and guidance informing them of the opportunities provided. Also, sharing work-related information with participating employees enables them to more effectively provide input into the decision-making process.

E. Develop a training plan for managers and employees to help some of them learn new skills needed for involvement in the process. Some managers and supervisors may need training in group leadership, listening, and providing feedback, while non-supervisory employees may need to improve their problem-solving skills. Management has to be skilled in interpreting what it hears and clearly communicating its response, particularly when total agreement on a particular issue or proposed action does not exist.

F. Develop a continuing process for evaluating changes. Among other things, the Library would need to determine if goals and expectations are being met, ensure that management support is continuing, and evaluate whether it is prepared to formally implement the consultative management process.

Subject: Labor/Management Cooperation

DOC 12

I. Statement of Issue

To assist in the fulfillment of its mission and goals, the Library needs a strong positive labor/management philosophy which encourages creative approaches to labor/management cooperation.

II. Analysis

The labor/management relations program and structure are superimposed on the complex and overburdened personnel bureaucracy without a labor management philosophy. Informal, creative, and innovative approaches have been discouraged because of fear of possible conflict with existing law and procedures and the fear that precedents would be established. There is an absence of effective communication and training, excessive reliance on rules and regulations, too much litigation, too little flexibility, cooperation, and risk-taking in problem solving. Labor and management must acknowledge their joint responsibility for contributing to accomplishing the stated mission and goals of the Library.

III. Recommendations

A. Consider establishing applicable consultative processes throughout the Library based on the findings of the consultative management pilot program.

B. TRAINING: All managers, supervisors, labor organization officers and stewards need thorough and effective training in the collective bargaining agreements, Library of Congress regulations, and Title VII of the Civil Service Reform Act.

(1) The Library should provide training for new managers and supervisors at least semi-annually, and promptly communicate changes in these provisions or interpretations thereof.

(2) The Library should acknowledge the value and necessity of the training the labor organizations provide their officers and stewards by accommodating reasonable requests for official time and space to conduct training.

C. Delegate to first line supervisors and stewards more authority to resolve problems at the lowest organizational level.

D. Seek to commit labor and management to exclude factors of personality from the labor/management relations process.

E. Seek to establish effective and productive communications and problem-solving processes between labor and management by:

(1) Establishing routine and frequent communication between the parties at varying levels on a wide range of matters of mutual interest;

(2) Encouraging labor and management to acknowledge their respective roles as problem solvers and not just as advocates;

(3) Encouraging labor and management to learn to recognize and strive to identify

common interests and not just differences between them; and,

(4) Conducting labor/management relations in a cooperative environment and developing mechanisms for problem solving to precede negotiations.

F. Do not use the law and regulations as barriers to discussion and problem solving.

G. Make it clear that off-the-record communications between labor and management for labor relations purposes remain off-the-record.

H. Emphasize the importance of each side recognizing and respecting the legal status of the other.

I. Encourage management and labor to be honest about issues and situations, including changes being bargained over; both sides should ensure that terms of agreements are carried out.

J. Emphasize the importance of having both parties approach collective bargaining with all available information necessary to conduct effective negotiations.

DOC 13

Subject: Pilot Staff Development Internship: A Proposal

I. Problem

A significant number of Library staff remain "bottlenecked" in dead-end nonprofessional jobs. They are unable to apply for entry level professional positions because of insufficient education and/or experience.

II. Proposal

The Pilot Staff Development Internship will be designed to enable Library of Congress staff who are in dead-end nonprofessional jobs (GS-5, 6, 7, 8) to move into technical or professional series positions with promotion potential to the GS-11 and 12. The selected interns will be given opportunities to obtain the education, training, and experience needed to become qualifiable for advanced positions, enabling them to perform at their highest potential and provide opportunities for them to get experience in different series and jobs. The interns will compete and be selected and trained for professional opportunities with the additional opportunity of lifetime job enriching careers. The internship will also aid the Library in meeting future human resource needs in specific areas.

Following a competitive selection process, six interns will be assigned to a developmental program with individual development plans prepared cooperatively with the supervisor, coordinator of the internship, and the selected intern. The individual development plans will consist of several training components, including a formal orientation to the Library and its departments, intensive on-the-job training, related job assignments in measured progression, and formal course work to provide a theoretical framework and practical skills for successful job performance. The individual developmental plan will include written goals, a range of assignments, and evaluation at the completion of each assignment.

Each intern will be assigned a mentor who will serve as a source of continuing support during the program and for one year thereafter. Mentors and supervisors will bring to the attention of the intern and coordinator any issue that may affect the interns' successful completion of the program; all parties will engage in joint problem-solving to facilitate successful completion of the internship.

Interns who successfully complete the elements of their individual plans and receive satisfactory performance ratings (specially designed for the internship) from their supervisor will be graduated from the program one year after promotion into the last level of their promotion plan. The program will be rigorous, and the elements will require consistent high performance on the part of the intern.

III. Program Elements

The internship will include the following elements:

(1) a well-developed announcement and selection process designed to yield interns of the highest quality;

(2) an individual development plan for each intern;

(3) in-depth orientation to the Library of Congress and its departments;

(4) work assignments directly related to the position in which the intern is placed;

(5) courses at area colleges and universities;

(6) developmental assignments such as readings in professional journals, special projects, research assignments, interviews, report writing;

(7) mentors;

(8) central coordination, monitoring, & periodic evaluations;

(9) individual counseling; and,

(10) close supervisory monitoring of assignments.

IV. Major Issues to Be Considered

A. Designation of positions.

B. Funding.

C. Development of selection criteria and procedures.

D. Assessment of success factors.

E. Labor/management negotiations.

F. Qualifying experience.

G. Staff person to serve as coordinator.

H. Identification of voluntary mentors.

I. Internship agreement.

J. Participants' evaluation of internship.

DOC 14

Subject: **Opportunities for Staff Wanting Additional Experience at the Same Grade (Creati:e Reassignments)**

I. Statement of Issue

Staff who have reached the top of their ladders and have been there for a period of time often become bored with such positions and wish to expand their horizons by either moving into a supervisory position (which is often a very limited possibility) or gaining additional experience in other areas of the Library whether this be within their own organizational units or in other units. Such restraint on movement also results in highly specialized staff who may lack broad view or understanding of the complicated and independent operations of the Library. Creative ways need to be found to effect such transfers or reassignments easily for the benefit of both the Library and the individual employees.

II. Analysis

Under current regulations and policies it is difficult, if not impossible, to provide staff with additional experience, especially outside the employee's assigned organizational unit. In areas where this has been tried a great deal of negotiation and administrative red tape have had to be overcome to attain the desirable and beneficial results. Additionally, th se tra... and reassignments that have been accomplished have been done on the basis of the needs and desires of the Library and not necessarily on those of the individual employee.

III. Options

These are illustrative and many other variants might be considered. However, it will be important in designing programs to ensure that their operation will be applied equitably to all employees.

A. DETAILS. This is an area that is currently heavily used in some organizational units to provide staff to work on specific projects. These details only coincidentally provide the individual staff with a temporary change in assignment. Details are most often undertaken within the same organizational unit (division or department) and provide the detailee with additional experience. An effort must be made to make detailees feel as much a part of the group to which they were assigned as possible for the detail to be successful.

B. TEMPORARY TRANSFER PROGRAM. Here is envisioned a limited transfer to another area in order to gain more concentrated, qualifying experience in the work of a related unit. The aim here is to provide experience for longer than details allow. The staff member, after the specific time allotted, would return to his/her original position. This option could be considered either to be a part of a person's training for his/her permanent position or simply as a means for staff enrichment. There would be impact on the receiving unit to provide the necessary training; there may or may not be tangible positive results for the receiving unit, depending upon the length of the training period before the person can contribute positively to the work of the unit.

C. JOB-FAMILY CONCEPT. This concept is one that would gather together "like" positions throughout the Library into a family that requires the same or similar qualifications for the entry level position. For example, a job-family of all 1410 positions might be considered since the basic qualification is the library degree. As a second example, a job-family of all subject, area studies or foreign language positions might be established because of the commonality of expertise. This concept might be applied such that a staff member at the top of his/her ladder would be considered for a vacant position in a position which ladder ends at the same grade level. If among all the applicants (both entry level and top-of-ladder level) the top-of-ladder level employee is selected, he/she would be transferred at the same grade and be given a training period with benchmarks to attain the necessary expertise needed to function at each level. Although there is presumably no impact on the organizational unit receiving the employee (the training workload is the same) there may be an impact on the other employees in the unit who might perceive a dichotomy between level of expertise and level of pay.

D. PROGRAM TO ORGANIZE STAFF ENRICHMENT. This option deals with a structured program to provide staff in one area with experience in another on a less than full time basis. For example, a reference librarian in the Science and Technology Division would spend a specified number of hours during a specified period (day, week, pay period, and so forth) in the appropriate science cataloging section of the Subject Cataloging Division. Such a program might be established to provide in-depth training in an area that is closely related to the staff member's permanent position. The impact with this program is whether the unit in which the staff member is being enriched is able to realize any tangible benefits from the program or whether the program would be viewed as simply taking time away from the production of the unit simply to provide new experiences for someone else.

E. DUAL APPOINTMENT IN TWO AREAS. This option provides automatic enrichment as it requires working permanently under two different position descriptions. The impact might be that it would take someone longer to become fully productive in each area.

F. PROJECT BANK. A list of projects the Library would like to undertake but for which there are not currently sufficient resources within the appropriate unit. The matter of sufficient space to house those brought in needs to be considered.

G. SABBATICAL WITHIN THE LIBRARY. This means the granting of a paid sabbatical to pursue research on a topic within the Library related to the Library itself or to some aspect of the person's permanent position for which research is desirable.

DOC 15

Subject: External Exchange/Intern Program (Creative Reassignments)

I. Statement of Issue

Staff who have reached the top of their ladders and have been there for a period of time often become bored with that position and wish to expand their horizons by either moving into a supervisory position (which is often a very limited possibility) or gaining additional experience in other areas of the Library whether this be within their own organizational unit or in another unit. However, there may not be other areas of the Library for which the employee is qualified or that meet the talents of the employee. Creative ways need to be found (1) to allow Library staff to assume temporarily positions in other institutions or agencies, (2) to develop internally means of providing staff with enrichment, and/or (3) to enrich the Library with personnel from other institutions or agencies.

II. Analysis

Currently there is little possibility of a staff member being able to assume temporarily a position in another agency or institution to receive some job enrichment that may even prove of positive benefit for the Library itself. In addition there are often projects that the Library would like to have done but for which there are no resources.

III. Options

A. EXTERNAL ROTATIONAL ASSIGNMENTS. Develop an organized program for staff to be able to assume positions outside the Library on a temporary basis. The staff member's job would be held for his/her return to duty. Although this would provide an enrichment experience for the employee, it might mean a loss of production to the Library or, depending on how enriching, a potential permanent loss should the employee resign his/her position. To reduce the possibility of the latter, a contractual arrangement might be considered.

B. STAFF EXCHANGES. Promote a climate whereby the Library makes an effort to exchange staff with other institutions or agencies for a specified period. Although this results in no loss of staff for the Library, depending upon the area in which the exchange occurs, training may be necessary resulting in some loss of production.

C. INTERNS/VISITING PERSONNEL. Bring personnel in on a temporary basis to work on projects for which there are no staff resources or to give the person experience in Library of Congress practice and policies. In some cases non-LC personnel could be almost immediately productive: (1) an intern-type program (such as is carried on in the Prints and Photographs Division) whereby a person brought in can be almost immediately productive in doing "mission" work for which there are limited staff resources but for which the person brought in is qualified or (2) personnel gaining expertise in Library policies and practices to support shared or cooperative programs. In others non-LC personnel would have to receive extensive training. In such cases the experience may be more valuable to the non-LC person than to the Library itself.

D. ESTABLISH A LIBRARY-WIDE PROJECT BANK. A list of projects the Library would like to undertake but for which there are not currently sufficient resources. Personnel could be brought in to work on the projects, allowing the Library beneficial exposure to experts from other organizations. The matter of sufficient space to house those brought in needs to be considered.

E. ESTABLISH A LIBRARIAN'S DISCRETIONARY FUND TO PROVIDE MONETARY RESOURCES FOR SPECIAL ASSIGNMENTS, PROJECTS, EXCHANGES, SABBATICALS, ETC. Such a fund could be created from monies made available from outside sources, for example, foundations, to facilitate the options noted above.

DOC 16

Subject: Removal from Supervisory Positions (Creative Reassignments)

I. Statement of Issue

Sometimes a person is placed in a management or supervisory position and becomes ineffective either by choice or by external circumstances. This situation may arise at any point in a person's career and ranges from the newly appointed manager/supervisor who realizes early that he/she is not suited for such a position to the longer-term manager/supervisor who is no longer effective because of burnout; changing policies and organizations; or changing personal circumstances.

II. Analysis

Staff of the Library of Congress have the right to expect sound management and supervision, and the Library has the responsibility to provide it. When a supervisor cannot provide sound, effective management or supervision for whatever reason (other than cause) to his/her staff to accomplish the appropriate unit's mission, there needs to be a way to remove gracefully and creatively the person from the position and reassign him/her to another position without undue stigma attached. (Note: Proposals currently under consideration for a dual ack system may well affect decisions on how to remedy this problem.)

III. Options

A. Appoint managers/supervisors on a two-year contractual basis. This would involve an agreement between the Library and the employee specifying what is expected of the manager/supervisor and what options will be followed should the employee be unsuccessful. If the appointee has not proved successful, he/she can be transferred (either at the grade level of the manager supervisor or with a demotion to the previous grade level) to another position. Such a system might have the result of undercutting the authority of the supervisor, causing him/her to "fail." In addition finding a position into which to transfer the person might prove to be a difficulty.

B. Appoint managers/supervisors on a one-year contractual basis at the same grade as the previous position. If the appointee proved successful as a manager/supervisor, he/she would be promoted at the end of the probationary period to the grade of the manager/supervisor. If he/she did not prove successful, the need to transfer him/her to another position would not also result in demotion. Would staff be willing to undertake all the requirements and rigors of management/supervision without the increase in grade? As with the above option, there might be a difficulty in finding a position into which to transfer the individual.

C. Rotational supervisory positions. This option would rotate among the several eligible persons within an organizational unit, each of whom would be at the same grade level. Such a system would be primarily applied to professional positions. It would probably work better in some areas or situations than in others.

D. Continue as under the current system. The current system represents a hybrid of counseling, disciplinary action, and/or transfers to a position of the same grade when possible. If counseling or transfers do not solve the problem, the remaining option is to remove a person from a position using the disciplinary action route. As might well be expected, this action has severe consequences on the morale of all concerned and on the unit whose supervisor is affected. The subcommittee feels that it is appropriate only when the individual is a poor supervisor, is unwilling to be made aware of the problem, a' is unwilling to deal with it. There have been other cases in which the supervisor and his or her superiors all agree that the individual is in the wrong position and the group seeks removal through non-disciplinary channels. Currently in the Library this is often very difficult to do. The majority of the work involved falls to the department in which the problem occurs, and the effort is not supported actively by tl · personnel system. When this alternative can be made to work, everyone concerned benefits. The poor supervisor is placed in a position in which other, stronger skills can be used effectively, the Library retains a valuable, trained employee, and the unit has the benefit of another, stronger supervisor. Ways to institutionalize this kind of reassignment are described in options A and B.

E. Establish a supervisory system in which the function of supervision is not tied to a higher grade level. This would allow supervisors who do not succeed to return to technical activities without a drop in grade. This is similar to option C.

DOC 17

Subject: Performance Evaluation

I. Statement of Issue

The Library of Congress performance appraisal system is ineffective, time-consuming, and the source of dissatisfaction from staff, supervisors, and management. Supervisors resent the amount of time that must be invested to complete the appraisal and the absence of adequate training and clear guidelines. Staff feel the system is punitive rather than developmental and object to the lack of uniformity across organizational lines.

II. Analysis

A properly designed and administered performance planning and appraisal (PA) system should be a motivation and development mechanism for staff and a means for directing and focusing workforce activities for management. Since the Library's goals cannot be achieved without the full participation of the workforce, improvements in this area would benefit staff, supervisors, and the library as a whole.

Performance appraisal should be a continuous, two-way process between supervisors and staff with the goal of establishing and meeting performance objectives. It is a tool for achieving an end, not an end in itself. An effective appraisal system should be simple in concept, and simple in application. Ideally, rewards and disciplinary measures should be directly linked to the performance appraisal process.

III. Options

A. OPTIONS TO IMPROVE THE CURRENT PERFORMANCE EVALUATION SYSTEM

(1) Develop an ongoing training program for supervisors on how to write a performance appraisal (elements of a good PA, writing skills, interview skills, not just procedures). Departments and divisions in consultation with Personnel should have training in assessing uniformity and fairness.

(2) Assure that employees receive a draft of the evaluation at least 24 hours in advance so that they may provide comments and input.

(3) Establish a formal checkpoint procedure in Personnel to insure that supervisors/managers/staff at all levels are evaluated annually and that appraisals are written on time and filed in the Official Personnel Folder.

(4) Establish the accountability of completing the performance evaluation at the supervisory level; include subordinate performance evaluation as one of the supervisor's performance evaluation elements.

(5) Require that the narrative portion of the appraisal be mandatory for all staff.

B. OPTIONS TO REDESIGN AND IMPLEMENT A NEW PERFORMANCE EVALUATION SYSTEM

(1) Remove the overall adjectival rating.

(2) Abolish the current performance evaluation system.

(3) Develop a written institutional philosophy that links performance appraisal to organizational environment and goals.

(4) Review performance requirements for consistency across similar job functions.

(5) Remove the "excellent" rating; change "satisfactory" to "successful."

(6) Develop a more structured appraisal form that includes as required elements; narrative comments on the previous year; goals for next year; and date for six-month review.

(7) Establish experimental PA pilot programs to evaluate new approaches to performance planning and evaluation. These should be conducted in more than one department and involve large segments of staff so as to include different work units and supervisors. An external facilitator could coordinate the design and implementation, but they should be done with ample consultation with staff and management. The pilots should include aspects of performance evaluation which are currently being used elsewhere: peer review, supervisor evaluation by subordinates, annual goal setting and performance planning on an individual basis, and the development of performance standards which are authenticated.

(8) Develop performance feedback forms (based on critical job elements) to be used for mandatory discussion at the six-month period (use NCR paper).

(9) Develop a validated performance appraisal system.

(10) Synchronize the entire performance evaluation process, that is, have all staff evaluated in one predesignated time period. This option would allow the establishment of bonus and merit pay systems, institutional goal setting, the translation of the institutional goals to individual goals and their subsequent appraisal.

(11) Establish a direct link between performance appraisal and cash rewards.

(12) Allow staff to have input in evaluation of supervisors.

IV. Additional Information

Specific comments were sought through interviews with labor organization representatives, supervisors, staff, and management. Comments from the Office of the General Counsel outlined the inadequacy of the current system to validate unsatisfactory performance and the legal problems arising thereof. The following compilation summarizes the concerns expressed.

A. PRIMARY CONCERNS

(1) Lack of valid performance requirements and clear expectations.

(2) Adjectival ratings that are too broad, not clearly defined, and not linked to performance requirements.

(3) Appraisal not linked to pay increases or awards; lack of tangible/intangible rewards for high performance.

(4) Absence of adequate performance appraisal training.

(5) Lack of clear, written, institutional guidelines for performance appraisal procedures.

(6) Performance appraisal not linked to organizational goals.

B. SECONDARY CONCERNS

(1) Lack of improvement and development planning following performance appraisal to correct identified deficiencies.

(2) Lack of uniformity/fairness (within units and across units).

(3) Excessive time needed to prepare appraisal.

(4) Supervisors not evaluated on supervisory skills.

(5) Supervisors not evaluated by subordinates.

(6) Current appraisal practices often leads to conflictive, adversarial positions, rather than mutually supporting responses.

(7) Lack of regular feedback (appraisal is used as once-a-year counselling memo).

(8) Supervisors reluctant to maintain logs because of absence of clear guidelines; staff fear of "ghost files" being kept and used against them.

DOC 18

Subject: Staff Recognition

I. Statement of Issue

There is widespread perception that staff members are not adequately recognized for their contributions to the Library. It is felt that the actions, opinions, and deeds of individual staff members are not sufficiently valued. The Library needs to develop a philosophy and mechanism for effective formal and informal recognition of individual contributions.

II. Analysis

The results of staff surveys in the Copyright Office and Processing Services and comments from the AFSCME labor organizations suggest that many supervisors do not recognize the importance and benefits to be gained by using positive feedback to staff as an effective management tool for increasing motivation and furthering program objectives.

The impetus for this change must be generated by the Librarian and communicated through department heads and division chiefs. The success of this effort can only be made a reality if the Librarian and managers and supervisors regard this as a shared commitment.

It is important that staff recognition be institutionalized in the Library, and supervisors and managers should use the tool effectively.

III. Options

A. The Library can continue to operate with business as usual. However, this approach will continue to frustrate staff who want to be appreciated and acknowledged for deeds that warrant special recognition.

B. Adopt a philosophy that fosters the importance of staff recognition. The Librarian should hold supervisors and managers accountable for instituting Library-wide the practice of staff recognition as an ongoing supervisory function. Research has shown that motivation, productivity, and morale are greatly enhanced when an effective staff recognition program exists. Department heads should have division chiefs and office heads periodically report on recognition activities in their areas and any observed impact on staff.

C. Establish a system of ongoing performance appraisal that includes a yearly written evaluation and one or two informal, oral sessions. All employees, including supervisors and managers, should receive regular and timely feedback; such feedback provides recognition of positive aspects of performance and encourages employee self-motivation and fulfillment.

D. Develop and provide a training program for supervisors to encourage increased use of staff recognition activities:

(1) Incorporate recognition as a category in the supervisory training courses.

(2) Present seminars, including films, role playing, panel discussions and other techniques to address and emphasize the importance and multifaceted nature of recognition including, supervisory commitment and accountability. Ensure that supervisors understand the importance of

fairness and timeliness.

(3) Ensure through various training efforts that supervisors are aware of the broad spectrum of recognition techniques available, including quality increases, promotions, performance evaluations, incentive awards, letters of appreciation (from division chief or department head), articles in department newsletter, if any, articles in the LCIB, forwarding client complimentary letters, representing the Library at outside activities, informal notes of appreciation, verbal thank you's, observe National Secretary's Week, celebrating birthdays, public display of staff photographs (such as work site photographs with captions describing the type of work performed), broaden opportunities to utilize staff talents, and announcements at the division level of staff contributions.

Subject: A Review of the Incentive Awards Program

DOC 19

INTRODUCTION

This committee was established by Ellen Hahn, Chair, Management and Planning Committee (MAP). The Committee's charge is to review the current incentive awards program, with special emphasis on the ceremony, and develop recommendations for consideration by Executive Session in late August.

Incentive Awards have become highly utilized management tools for rewarding excellence of work performance, special acts of service, and other contributions aimed at improving efficiency and productivity in the Library. The Library's Incentive Awards Program shows continuous growth from the time of the earliest fiscal year report in FY 1963. That report indicated there were only 22 award recipients for FY 1963. By 1976, an increasingly large number of award recipients led the Library to initiate ceremonies twice each year.

The practice of having semiannual ceremonies has continued up to the present. Now even two ceremonies a year are no longer sufficient to accommodate the number of awardees. Consequently, an interim modification eliminating all group awards from the ceremony was initiated in May 1988. Although that decision was adequate to remedy the immediate problem, it is not an acceptable long range solution. There is strong sentiment among managers and staff that individual and group efforts should be valued equally.

STATEMENT OF THE PROBLEM

Prior to the May 1988 Incentive Awards Program, the semiannual ceremonies (usually held in the spring and fall) provided an opportunity for any staff member who received an award during the previous 6-month period to participate in the awards ceremony in the Coolidge Auditorium. Because the ceremonies grew to a size that caused many to feel that the ceremony was too large and impersonal, and because of the high absenteeism of awardees, the Library decided to remove group awards from the ceremony. As of May 1988 all group awardees began receiving their awards from the respective department heads even though the Librarian signs all congratulatory letters.

The main difficulty departments are encountering in presenting group awards is that there is no funding available for them to have refreshments included as part of departmental ceremonies. Monies from the Porter Fund, which are used to fund refreshments at the reception held after the semiannual program, have not been made available for departmental receptions, and refreshments cannot be bought with appropriated money. The Librarian has stated that the crucial consideration should not be money and that it is important not to slight the group awards because we want to encourage more group efforts.

SUMMARY OF RECOMMENDATIONS

This committee recommends a three-track system to recognize staff contributions. The highest level of recognition would be the Librarian's Honor Award to be presented by the Librarian at an annual ceremony. The second highest level of recognition would be Quality Increases to be observed at an annual reception hosted by the Librarian. The third category would be special achievement awards to be presented by department heads at departmental ceremonies. All of these contributions would be publicized with an attractive brochure distributed to all Library staff. It is important to highlight one significant aspect of this three track system: there would be no distinction between treatment of individuals and treatment of groups. The committee further recommends that all special achievement awards, defined as "cash awards" in the LCR, be approved at the department level. Specific recommendations follow.

LIBRARIAN'S HONOR AWARDS CEREMONY

We recommend holding a special ceremony once each year, to be called the Librarian's Honor Awards Ceremony. The ceremony should be for both individuals and groups recommended by their departments for Distinguished Service, Superior Service, and Meritorious Service awards by the end of the preceding fiscal year, and for persons whose length of Federal service during the preceding fiscal year reached 30, 35, 40, and 45 years. In addition, we recommend inclusion in the ceremony of any Library staff members who have received Presidential awards or other Federal or non-Federal awards after nomination by the Librarian. The ceremony should be held close to January 29, to commemorate President Thomas Jefferson's appointment of John Beckley as the first Librarian of Congress on January 29, 1802. The first annual Librarian's Honor Awards Ceremony should be held in January 1990 to cover honor awards recommended and length of service achieved during FY 1989.

This recommendation has several advantages. First, it distinguishes between honor awards and special achievement awards, rather than between individual and group achievements. An honor award, by definition, is of greater significance than a special achievement award. It is appropriate, therefore, that honor award recipients receive their certificate directly from the Librarian. The current exclusion of group awards per se from the Librarian's ceremony is inappropriate because group achievements are as significant as individual accomplishments. Second, an annual ceremony saves roughly half of the funds currently used to pay for refreshments at the receptions following two ceremonies. The savings can be used for light refreshments (coffee and pastry) at the departmental ceremonies to honor recipients of special achievement awards and at the Librarian's reception for quality increase recipients. Third, a single ceremony can be administered more efficiently and effectively and is less time consuming for all parties.

DEPARTMENTAL AWARDS

By far, the largest number of awards will be for special acts or exceptional performance that are most appropriately recognized at the department level. The committee strongly urges that funds be made available for refreshments at these departmental ceremonies and that the recipients of these awards be listed in the annual awards brochure proposed below. Another recommendation of the committee which is dependent upon revision of the LCR is that departments be given final approval authority for all special achievement awards regardless of the amount of cash recommended. This will eliminate the need for review of special achievement awards by the Incentive Awards Committee. Planning for departmental ceremonies should be the responsibility of individual department office staff, although it is expected that members of the Staff Relations Office will be available to provide guidance to departments during the transition period.

DEVELOP A MORE ATTRACTIVE HONOR AWARDS CEREMONY BROCHURE

Equal in importance to the ceremony itself, the brochure should be a document of such quality as to reflect the importance the Librarian places on recognizing staff contributions.

The attached sample from the U.S. Nuclear Regulatory Commission is the model we recommend.

The brochure, with an attractive cover, should include:

1. A foreword by the Librarian.

2. Honor awards listed by category, with the definition of the award preceding the list, then 30 years and higher length of service, quality increases, and special achievements.

3. Pictures of honor award recipients.

4. The name and brief description of the achievement next to each picture.

5. Names of people associated with the awards program, such as the staff relations officer, members of the committee. etc.

The brochure should be distributed to all Library of Congress staff in order to publicize the accomplishments of all awardees and to serve as an incentive to all staff to aim for excellence.

We recommend that honor award pictures be passport-type photos for individuals and photographs of groups in the work setting, if appropriate. Central Services would do the typesetting and printing of the brochure. Because the pictures and citations will be a part of the brochure, a separate picture taking session with the Librarian can be eliminated, and a rehearsal might also be unnecessary.

RECOGNITION LETTERS

Letters to the staff which recognize their achievements and contributions to the Library are no less important to the recipients than other forms of recognition, e.g., cash and certificates. Since honor awards are the highest form of staff recognition, the committeee recommends that the current practice of using personal letters from the Librarian be continued. The committee further recommends no change to the practice of using a form letter format to acknowledge quality increases. All letters for special achievement awards should be signed by department heads since they will approve awards and preside at the ceremony.

QUALITY INCREASES

Since May 1985, the Library has recognized an average of 145 quality increase recipients every 6 months. Currently, the Library honors quality increase recipients at receptions which usually take place shortly after the incentive awards ceremonies. We agree with the practice of separate recognition of quality increase recipients but recommend that the Library honor them at an annual reception to be held near the time of the Librarian's Honor Awards Ceremony.

We believe this level of achievement merits a special reception that provides the recipients with the opportunity to receive personal congratulations from the Librarian as well as from department heads.

ADDITIONAL RECOMMENDATIONS

1. Revise LCR 2017-3, Suggestions and Incentive Awards Program, to achieve clarity and make the regulation an easier document to use when recognizing staff achievements. In the interim the Staff Relations Office should provide written criteria for honorary awards categories.

2. Review the entire content of the Librarian's honor awards ceremony (e.g., should we have the Marine honor guard, should we have a musical presentation, should we have everyone go up on stage, etc.)?

DOC 20

Subject: Flexible Hours

I. Statement of Issue

Many staff members currently enjoy some degree of flexibility in their work schedules, that is, flexitime and compflex. Flexible hours allow opportunities for alternative work patterns to accommodate the needs of staff. Flexible hours enable staff to engage in professional activities, career development and to meet family obligations, including child care, elder care, and so forth. Managers have a more satisfied employee when flexible hours are utilized. The need to take leave when tardy is lessened. Transportation problems are limited with a flexible schedule. There are many variants of compflex schedules which could be implemented as pilot projects. Managers are prohibited from participation in compflex. Because of GSA restrictions, staff housed in the Navy Yard do not enjoy schedules as flexible as those staff on Capitol Hill.

II. Analysis

Flexible hours are frequently limited or excluded in those areas where there is responsibility to the public sector, Government agencies, Congress, or for work shifts covering a special service, such as automation. In some of those areas, other kinds of flexible hours (other than the standard compflex) may be possible. Investigations of variant schedules such as compressed work week without flexitime or "On 10-Off 4" schedules should be carried out. An assessment should be taken of the Library's experience with flexible schedules, taking into consideration the Library's various constituencies

There are many possible combinations of flexible and fixed schedules that might be appropriate for given parts of the Library. These include, but are not limited to:

(1) Maxiflex (4 days, 10 hours--employee works 10 hours for four days, off the fifth day);

(2) On 10, off 4 (recommended for shift workers--employees work 10 days straight, off four days straight);

(3) Elimination of compflex but retention of flexitime;

(4) Addition of new shift with limited flex and compflex (possible shift could be a 10 a.m.-to-12 noon start, with compflex and flex);

(5) Maintenance of present options (flexitime and compflex);

(6) Work at home.

All of these schedules have their pros and cons. Some factors to be considered are morale, productivity, worker fatigue, supervision, utilization of equipment and space, and so forth.

IV. Recommendation(s)

A. Make an assessment of the Library's experience with flexible schedules before the beginning of contract negotiations. The assessment should include, but not be limited to, (1) leave usage; (2) morale; (3) impact on organizational operations; (4) productivity; and (5) security of collections and individuals. Based on results, consider implementing the options in the analysis or other appropriate flexible schedules.

B. If appropriate, seek congressional support for principles and benefits of flexible work hours, including managers now prohibited from participating in compflex.

C. Explore the possibility of making more flexible hours available for Library staff in outlying annexes, that is, GSA operated buildings.

Subject: Adverse Actions

I. Statement of Issues

Timeliness is the major problem in adverse action cases. The process often takes months; reply is so far removed from the episode. it is not fair to anyone, especially in conduct cases. Some cases have been canceled because reply officer did not submit response in timely manner. Also, the multiple avenues of appeal add time: a large number of respondents use both adverse action appeal and EEO complaint. This is (1) draining on managers and employees, (2) extends time for decision to be made, and (3) creates impression that Library is unable to take action. It is demoralizing when a coworker who does not produce or swears at others is not removed or reprimanded.

A second source of problems involves discontent over penalties: there is a lack of realistic options and an inconsistency in the penalties awarded. A supervisor is limited in what can be recommended: recommendations for transfer or reassignment often are not within the purview of the supervisor; therefore, in performance cases the supervisor generally goes for demotion, suspension, or removal. In addition, without adequate guidelines, different criteria are used by different directors, but the impact of misconduct or poor performance in the work place is the same. There does not appear to be a clear understanding of how to apply the Douglas criteria (see p. 59) to penalties on the part of reply officers and directors.

Another problem is the availability of multiple sources for advice. When you have a problem employee and are contemplating some kind of action, within the Personnel Office you could go to: Office of Counsel for Personnel, Labor Relations, Staff Relations, or Health Services. Each of these may offer different, and sometimes conflicting, advice which leaves the supervisor confused or misdirected.

Basic to all these problems is the fact that LCR 2020-3, which addresses adverse actions, is not clear on procedures and does not spell out the reply officer role, responsibilities, and time frame. The ambiguity leads to widely varying interpretations and actions. Furthermore, there are no written guidelines for reply officers to let them know specifically what they are expected to do and not do in conducting the investigation.

II. Analysis

It is important that supervisors communicate regularly with employees about their performance or conduct; establish an environment of mature trust and respect for individual differences; set clear goals and expectations, and establish the time period for meeting them; provide appropriate training where needed; deal with problems in a timely, positive way by counseling problem employees about the impact of their poor performance and/or behavior on their job, on the work of the organization, and on their colleagues; make sure counseling is on the record, and refer employees to Staff Relations for help, if necessary. When problems are not resolved, the supervisor must build documentation and consolidate information before initiating action; if he proposes adverse action, he should have a case, not be building a case. The primary role of the reply officer should be to objectively investigate the differences between the employee's response and the manager's proposal, and review the adequacy of the procedures taken; the reply officer is not an impartial official, but a member of management who is not intimately involved in the case. Also, the reply officer's qualifications can be called into question; for example, reply officers are not trained as hearing officers, and how can a reply officer determine job requirements are not being met? There is concern about how to exercise more leverage in getting a reply officer to complete the report within a time limit; reply officers usually already have over-full schedules, and it takes a long time to research and draft reports; the amount of time taken may link to type and complexity of adverse action, for example, abuse of time vs. work performance, which requires more investigation. There currently is no official time constraint, except in CRS where the CREA contract has a three-week deadline on impartial reviewers' reports with the possibility of extension for specific cause (for example, a vacation). The agency head/department director has sole responsibility for final decision within the Library; anything else is result of appeal.

Most important considerations in considering any changes are to create shorter time period for adverse actions while making sure employee gets heard, and to make sure LCRs covering disciplinary actions provide for fair and equitable application and interpretation.

III. Recommendations

A. Change the way the reply officer operates; the first option represents the consensus of the work group:

(1) REDEFINE THE ROLE OF THE REPLY OFFICER

Reply officers would continue to be selected from among departments at the division chief level; they would receive written response from employee, review original proposal and response from employee, and then question people as appropriate to resolve conflicting statements or clarify points; make findings of fact, and summarize what is said and information discovered in investigation. At this stage there are no formal oral presentations nor hearings with witnesses brought in by employee. In misconduct cases where they are making a credibility finding, reply officers should talk to those who actually witnessed the event(s), but are not required to talk with everyone in performance case. Reply officers may comment on penalty if it is out of line relative to similar cases, but reply officers would not act as judges in proposing what penalty would be appropriate.

Pro: Eliminating the oral presentation and calling of witnesses by the employee would save time and keep the investigation more focused; employee could make all his points and include affidavits from other people in the written response. Any meetings between the reply officer and the principals would put the emphasis on investigation by the reply officer and not courtroom delivery by employee's representative. Reply officer is not trained as a lawyer and is out of his element trying to conduct trial or act as a judge. Not having to determine penalty could reduce time taken for reply officer's draft report.

Con: Employees might come to the director to put case on table, get points across if they cannot deal fully with reply officers. Union prefers that reply officer continue to recommend penalty because it often means employee gets lighter penalty.

The following are the other options seriously considered and with support from at least one member of the group:

(2) ELIMINATE THE REPLY OFFICER

Pro: Reply officer step slows down process; there are few cases where reply officer finds anything new. Supervisor investigates before drafting adverse action proposal; then, proposal is reviewed by department's executive officer before it goes out (is it strong enough to take forward) and by Office of Counsel for Personnel (OCP) for procedural accuracy (not merits). Union rep does investigation, too, along with reply officer. Reply officer is playing in a ball park out of his expertise, and his recommendations are not appreciated when finding is that Library doesn't have facts to support case; director may disregard reply officer finding that there is no substantiation. Library could use binding arbitration for bargaining unit employees; two investigations have demoralizing effect on employees.

Con: Employee has right to respond and have case heard/reviewed by someone not involved in case prior to issuance of a decision. Where would employee go if there were no reply officer? For one thing, it would increase the responsibility on department director for investigating if that were not delegated to a reply officer. Reply officer reviews proposal, employee's response, and other relevant files, makes credibility findings, and analyzes for decision maker.

(3) ESTABLISH CORE GROUP OF REPLY OFFICERS

Two or three people would be hired with reply officer duties as their primary responsibility; they would be located in a central office.

Pro: Training and application of guidelines would be more consistent; reply officers would not be beholden to any department director and could process the adverse actions faster because they would have no other responsibilities.

Con: Might become a rubber stamp operation. If you bring in someone who is not a supervisor, what about their understanding of such things as performance requirements? Professionalizing leads to lawyers, that is, more formal, less informal fact-finding.

B. Change the way the reply officer is chosen:

Should the department director choose the reply officer from within or outside department; who, what level, under what circumstances? (The work group generally agreed (with some ambivalence) with leaving the choice of reply officer to the discretion of the department head based on the circumstances, for example, performance cases may be better handled from within, while misconduct could be handled by someone from another department. The union representatives were strongly in favor of having the reply officer from outside the department.)

(1) SELECT THE REPLY OFFICER FROM SAME DEPARTMENT (WITH MINOR EXCEPTIONS)

This represents status quo, and it is actually the broadest option since the current regulation allows for a reply officer to be selected either from within or outside the department; in practice, though, directors tend to choose from within their own department. This option provides directors with the most leverage to assure that replies are completed on time, and allows person with knowledge of department's work to be selected to do investigation; on other hand, when department directors consistently choose from within the department, the investigations may not be as impartial and can put strain on reply officers in evaluating the proposal of a peer.

(2) SELECT REPLY OFFICER FROM ANOTHER DEPARTMENT

Pro: Would assure more impartiality: person from outside department would be more independent of director and of the feeling of undercutting another chief with whom he works on daily basis; now, the same person is called on too often; when people are from same department, they may be too familiar with problem, and it may color their judgement.

Con: Reply officer within the department is more familiar with work of department, will understand the case, and can sift through materials more easily, especially if it is performance case or misconduct tied into performance.

(3) SELECT REPLY OFFICER FROM SAME DEPARTMENT FOR PERFORMANCE CASES AND ANOTHER DEPARTMENT FOR MISCONDUCT CASES

Pro: This would split issue down middle: provide more impartiality on misconduct cases and still keep reply officers who should have better knowledge of requirements for performance cases.

C. TIME RESTRICTIONS

Reply officer should submit report within one month from date of employee's response to proposal of adverse action with possibility of an extension for extenuating circumstances, for example, a complicated case with multiple factors or sickness. Ability to meet this depends on selecting Option 1A Redefine Role of reply officer which would streamline duties.

D. REDUCTION OF AVENUES

An employee would be allowed to appeal a proposed adverse action to a reply officer, but could not file a grievance or EEO complaint until a decision is made; this would be in conformance with the Code of Federal Regulations. When contesting a management decision to take an adverse action, employees would choose between the EEO procedure (LCR 2010-3.1) or the applicable grievance procedure. This would require amending the Collective Bargaining Agreements and LCR 2020-3 to make adverse action decisions appealable via the grievance procedure (either negotiated grievance procedure or LCR 2020-3, as applicable). LCR 2020-3 would require amendment to eliminate the appeal procedure currently contained; the reply officer function would remain. Language requiring employee choice between negotiated grievance procedure and EEO procedure is already contained in the CREA and AFSCME 2910 Collective Bargaining Agreements, though it is not in AFSCME 2477's. The grievance procedure would allow for addressing discrimination and technical concerns.

Pro: This would reduce the number of appeals related to any one case winding its way through the process, and would still protect the rights of employees.

Con: The employee would no longer have multiple delaying actions available and would probably feel more vulnerable.

Note: The Union strongly disagrees with this proposal, as does one member of the subcommittee. Members of the work group strongly supported the change.

E. MULTIPLE ADVICE SOURCES

There needs to be a coordinated approach that monitors legal and procedural advice for consistent approach and that assures line managers they are getting the reliable information they need. To accomplish this, there needs to be better coordination within the Personnel Office for monitoring advice being given out from its operating units.

F. PROPOSER

The Library needs to take greater responsibility for providing guidance to those who are proposing as well as charging them with primary responsibility for consistency and fairness of penalties. Proposer should take into consideration each person's past performance and the circumstances of the case in recommending appropriate action

G. OFFICE OF COUNSEL FOR PERSONNEL

Proposal should have line where OCP representative signs-off that he reviewed proposal and determined that the penalty is in line, i.e. appropriate against kind of decisions made before and within acceptable range. Should provide proposer with training and prior case information, and decision-makers with data on pattern of charges and penalties they need in making consistent decisions. This would require among other things, the development of a data base with information (stripped of names) about similar kinds of events.

(There is concern both on the part of some managers and of the union about the role of the OCP in adverse action cases and the possibility of conflict of interest and arbitrary withholding of information. This is an issue that should be studied separately.)

H. REPLY OFFICER

The Library must define carefully what the role of the reply officer is and provide reply officers with appropriate training and written guidelines on nature of duties, how to conduct investigation, and so forth. The reply officer should not conduct a hearing, only look at response to see if there is anything that raises questions about the proposal and then investigate those questions. If reply officer talks to proposer, should also talk with employee and employee's representative.

I. DECISION MAKER

There should be a linkage between decision-maker and Personnel Office especially in performance cases where separation is recommended to determine if there is another job elsewhere in the Library that the person could perform, that is, the proposal should be looked at by someone who has a Library-wide point of view. In addition, the department director in making the final decision should check that penalties awarded are consistent within the department.

J. TRANSFERS

When a person is unsatisfactory in his job, the division chief may propose reassignment if it can be handled within division; otherwise, division chief recommends separation because the division has no place to put person; it is reasonable to propose separation if a person is not successful in present position even though successful in a previous position. For someone who has done well in another job in a different division or department, the division chief should propose removal, but indicate the record shows person did previous work satisfactorily; leave it to discretion of director to find another position in the department or to effect transfer to a different department. Otherwise, consideration for other positions in the Library should be handled by Personnel Office analogous to procedures for reasonable accommodation.

K. LCR 2020-3 AND GUIDELINES

These should be rewritten to clarify areas which are subject to interpretation to assure more equitable application of the regulation; to spell out responsibility of proposer for assuring reasonable penalty based on prior cases; to clarify the role and authority of OCP; to outline purpose, responsibilities, and time limits of reply officer, and to charge decision-makers with responsibility for consistent decisions within their jurisdiction.

(This report is based on the knowledge and experience of the working group; in the implementation phase, it should be reviewed by General Counsel and other relevant offices with recognized expertise.)

DOUGLAS CRITERIA FOR DETERMINING APPROPRIATE PENALTIES IN MISCONDUCT CASES

THE LIBRARY OF CONGRESS
WASHINGTON, D.C. 20540

PERSONNEL AND LABOR RELATIONS OFFICE

DOUGLAS CRITERIA FOR DETERMINING APPROPRIATE PENALTIES IN MISCONDUCT CASES

1. The nature and seriousness of the offense and its relation to the employee's duties, position and responsibilities, including whether the offense was intentional or technical or inadvertent, or was committed maliciously or for gain, or was frequently repeated.

2. The employee's job level and type of employment, including supervisory or fiduciary role, contacts with the public, and prominence of the position.

3. The employee's past disciplinary record.

4. The employee's past work record, including length of service, performance on the job, ability to get along with fellow workers, and dependability.

5. The effect of the offense upon the employee's ability to perform at a satisfactory level and its effect upon the supervisor's confidence in the employee's ability to perform assigned duties.

6. Consistency of the penalty with those imposed upon other employees for the same or similar offenses.

7. Consistency of the penalty with any applicable agency table of penalties.

8. The notoriety of the offense or its impact upon the reputation of the agency.

9. The clarity with which the employee was on notice of any rules that were violated in committing the offense, or had been warned about the conduct in question.

10. Potential for the employee's rehabilitation.

11. Mitigating circumstances surrounding the offense, such as unusual job tensions, personality problems, mental impairment, harassment, or bad faith, malice or provocation on the part of others involved in the matter.

12. The adequacy and effectiveness of alternative sanctions to deter such conduct in the future by the employee or others.

*Douglas v. Veterans Administration, 5 MSPB 313, 1981.

OCF 9/11/85 RH

DOC 22

Subject: Training--Organizational Structure

I. Statement of Issue

Departmental perceptions are that the Library's current staff training efforts are ineffective; courses do not reflect changing needs and take too much concentrated time from busy schedules; the Training Office has operated in isolation and not been an active source of professional advice nor has it served as a coordinator of interdepartmental ideas and programs; the Training Office has not enjoyed strong management support, is inadequately staffed and equipped, and, consequently, is unresponsive to departmental needs. Some departments have developed their own training programs independently or are sending staff members to outside training organizations, money permitting. This presents ample opportunity for duplication of effort and wasteful allocation of resources.

II. Analysis

A coordinated and state-of-the-art training and staff development program would help staff members of the Library to achieve their full potential. To be relevant to the needs and main outputs of the Library, the training program must have accountability and/or proximity to line operations and share line values. Training derived from unique operations should be handled at the local level, and training common to the whole organization should be coordinated centrally. There must be a link between the centralized Training Office and the decentralized departmental training elements.

III. Options

A. Create a strong well-funded centralized Training Office which provides or coordinates all training for Library staff. While making efficient use of resources, this would not provide the customized training needed for departmental specialities nor be as flexible, accountable, and responsive as needed.

B. Decentralize all training programs and budget to the department level; retain a Library training officer position to maintain a data base on courses offered and taken for use in compiling statistics. While this would give departments the greatest control over training provided their staff, it could lead to duplication of effort and inefficient use of resources for the Library as a whole.

C. Contract out for all training; this would be coordinated through a central Training Office. While this would eliminate duplication and bring a professional outside point of view, departments would lose control of their specialized training and overall training costs would increase.

D. Develop a combined approach to training by establishing a partnership between a centralized Training Office and the departments to determine training needs and by using a combination of staff trainers, contract trainers, and state-of-the-art technology. This is the preferred option.

(1) Replace the Training Advisory Committee (LCR 2017.1) with a Training Oversight Committee consisting of the Library's training officer and a senior level manager responsible for training from each department to represent the departments' needs. This committee would provide support for training at the higher management levels through a strong advocacy role. It would be accountable for decisions of policy, for reviewing and approving a long-term training plan for the Library based on the comprehensive needs analysis surveys, for evaluating the effectiveness of the various centralized and decentralized staff training and development programs, and for reviewing cost analysis of training under

contract vs. in-house. The committee would react to proposals: accepting, rejecting, or requesting revisions and would make specific recommendations to Executive Session for approval and assignment of implementation responsibility. (Note: A couple of executive officers disagreed with this proposal because the previous committee had not been effective and policy/planning should be a line responsibility.)

(2) Charge the centralized Staff Training and Development Office with the responsibility for:

(a) The official recordkeeping on all training and reporting to the LC management and the Office of Personnel Management and for ensuring that data are maintained on all training that staff members receive. Rather than fill out paper forms, departments will input directly to a data base system and will be able to review their records, as well as to scan the data base for evaluations of courses taken by staff members throughout the Library. This will cut down on extra typing and bookkeeping. This assumes the availability of a data base system developed under the SISP project.

(b) Working in close coordination with the training coordinators in each department to provide ideas and expertise on curriculum, on courses, and on methodology for assessing training needs.

(c) Maintaining an inventory of training being offered throughout the Library.

(d) Developing training plans for common needs training and justifying sufficient budget to cover facilities, staff, contractor assistance, or outside courses.

(e) Providing common needs training, for example, basic personal computer use and operation, that can be best provided by a centralized approach. This assumes an aggressively proactive role on the part of the training officer who must exhibit intiative and skills in extracting information from departments.

(f) Ensuring that requests for outside training are processed and forwarded to training agencies in a timely manner.

(g) Planning and maintaining facilities that are conducive to positive learning experiences and recruiting staff that are knowledgeable and experienced in the subjects they are covering.

(h) Utilizing new education technology to assure state-of-the-art training, for example, computer-assisted instruction.

(i) Developing programs to use the talents of the Library's staff by matching staff abilities with training program needs that can be offered Library-wide.

(j) Evaluating training programs for what should be added, changed, or eliminated.

(3) Charge the departments with the responsibility for:

(a) Determining training needs through a needs analysis survey coordinated with the Training Office.

(b) Assuring evaluations of courses are completed and input to the data base system and providing other relevant feedback to the Training Office.

(c) Identifying, developing, and conducting training programs that are unique to the needs of the department, for example cataloging in Processing Department, registration in Copyright.

(d) Developing departmental training plans and justifying sufficient budget to cover facilities, staff, contractor assistance, or outside courses.

(e) Having a training coordinator to coordinate and plan training activities of the department.

(f) Assuring that staff instructors are knowledgeable in their subject and well trained in classroom presentation techniques.

(g) Utilizing new education technology.

(h) Coordinating activities with the Training Office to support a central pool of information.

(i) Inputting training data to the centralized system and reviewing the records as needed.

(j) Providing space in one of their specialized classes which is relevant to a staff member from another department, for example, an NLS/BPH cataloger to the Processing Department's cataloging course.

Subject: Training--Planning and Budget

I. Statement of Issue

Operating a major program, such as training, in an organization requires basic resources: human, financial and material. Responsibility for budget planning and implementation should rest with those responsible for conducting the program. In the Library of Congress there appears to be confusion over who actually has budget responsibility for training, and this has resulted in a lack of planning for sufficient budget requests to meet the training needs of Library staff in a technologically changing society.

II. Analysis

In a survey of private industry (organizations with 50 or more employees) 38.8 million workers received 1.2 billion hours of training at a total cost of $32 billion: that works out to be 31 hours and $825 per worker. Forty-one in-depth case studies of commercial firms reflect 25.6 staff hours per employee per year and an average annual training budget of 3.3 percent of payroll for all training related costs, including trainers' salaries. The Library's fiscal 1987 budget of $345,288 provides an average of $69 per employee in 25E training funds (this does not include salaries for trainers in the Training Office nor in the departments). This funding, which does not include salaries nor training costs from other object classifications, works out to be .26 percent of payroll.

III. Options/Recommendations

A. Clarify budgetary responsibility for Library-wide training programs; require a management by objectives approach to planning and implementation of training funds. Assure accountability for budget requests, justifications, and obligations.

B. Conduct a needs assessment survey to determine current and future training requirements for Library staff at all levels and for projects proposed in budget and five-year plans; this should be conducted by the departments under the coordination of the Training Office. Those needs that are general in nature and broadly required throughout the Library by a large number of staff are coordinated (but not necessarily taught) by the Training Office; those requiring specialized skills or needed only within a department or unit are handled there. Data from this survey must be available for fiscal 1991 budget planning.

C. Consider reprograming funds in the fiscal 1990 budget to establish a base for Library-supported training on an average per capita basis, for example, $100 per employee, for outside training expenditures (hardware, off-the-shelf or custom materials, seminars, and outside services). This does not imply that every staff member automatically receives $100 per year since some courses will take several times that much. Those functions with separate line item budgets should include training in their budgets. For the others, training funds initially would be allocated on a per capita basis.

Budget Staffing Figures: 1987 Actual

Budget Line	Full-Time Permanent
Library of Congress, Salaries and Expenses	3,283
Copyright Office	561
Congressional Research Service	860
National Library Service/BPH	119
TOTAL	4,823

Based on fiscal 1987 figures this would mean a total of $482,300 in budgeted 25E training funds, or an increase of $137,000 over what was actually spent in fiscal 1987 for the Library as a whole.

D. Compile data on the cost of formal in-house training provided by Training Office, the departments, and other sources: the full and parttime trainers' salaries and related expenses, including proportion of facilities and administrative costs. Establish a minimum goal of one percent-of-payroll for formal outside and in-house training costs in fiscal 1991, two percent by fiscal 1995, and three percent by the year 2000. Request progressively increasing funding from Congress to reach these goals; do not cut personnel funds.

Budget Payroll Figures: 1987 Actual

Budget Line	Full-Time Permanent
Library of Congress, Salaries and Expenses	$ 85,538,000
Copyright Office	13,869,000
Congressional Research Service	29,801,000
National Library Service/BPH	2,967,000
TOTAL	$132,175,000

Based on fiscal 1987 payroll, this would mean $1,321,750 committed in fiscal 1990 to all training activities, including salaries for staff whose full-time jobs support training.

E. Departments and those units with separate line item budgets should work from lower level supervisors up to develop a general three-year training plan that is reviewed/revised/expanded annually and that equitably shares the resources and provides necessary training to keep staff current in their jobs.

F. When budget proposals are made, attention should be given to the impact those proposals will have on staffing requirements and patterns, that is, will certain positions be eliminated, will there be a need for new positions with different skills? The proposals also should address what training will be needed for displaced staff to be able to meet the requirements, where possible. In anticipation that budget items are approved, the relevant training should be included in the fiscal training plan. Staff's proportionate share of common needs training will be paid for from their appropriate line budget.

G. Methods are identified to make the best use of the funds available. For example, rather than sending staff out one-by-one to commercial firms or other government agencies for courses applicable to a number of staff members, arrangements are made to bring in a trainer and schedule staff members for on-site training. Computer-based-training is developed and updated for use in teaching numerous staff members skills that are ongoing needs, for example, basic use of LCRs and personnel-related forms for new supervisors. Videos are made of relevant seminars for future use by staff members who either could not attend at the time scheduled or were not yet on board.

DOC 24

Subject: Supervisory Training

I. Statement of Issue

Most new supervisors at the Library of Congress do not receive an orientation to basic personnel functions (for example, performance reviews, position descriptions) in a timely manner, if at all. Furthermore, the theoretical aspects of supervision (for example, motivation, communication) are taught in a textbook manner by someone who, we understand, has never supervised, and supervisors find the course irrelevant. A lot of instruction (including one-on-one) goes on throughout the Library by those who have subject or technical skill, but who have not been trained to teach. Also, there is neither planning nor allocation of resources for developing supervisors systematically in areas of special interest to the Library. While there are exceptions in a couple of departments, all in all, there is dissatisfaction with supervisory training as presently offered.

II. Analysis

Management effectiveness and efficiency are dependent on the ability of supervisors to perform their duties well. Supervisors need appropriate initial preparation in practical processes and theoretical issues to be able to adequately handle their jobs. Training, in itself, is not sufficient to ensure a trainee's competence. For new supervisors the training must be provided within a structured supervisory development program which includes frequent counseling, coaching, and assessment of the supervisor's performance in the work environment. In addition, management is a dynamic process where new techniques are introduced regularly and where increased responsibility requires increased knowledge and more sophisticated skills.

III. Options

A. CONTINUE AS AT PRESENT. Most supervisors receive training in a hit and miss fashion, learn on a trial and error basis, and will struggle with actions while not understanding the organizational regulations and philosophy.

B. CONTRACT OUT ALL SUPERVISORY TRAINING AND CAREER DEVELOPMENT. This may cost considerably more, the organization may lose the opportunity to influence new supervisors in its own philosophy, and outside training would not cover specific Library functions.

C. INSTITUTE A COMBINATION OF INSIDE AND OUTSIDE TRAINING.

(1) Provide briefing within first week on departmental policies and procedures, philosophical issues, helpful hints on handling things. Additional costs should be minimal since available staff (for example, executive officers) could be used; for some consistency, representatives from departments should determine a basic outline that would be used by all; details would vary from department to department. New supervisors will also continue to receive guidance and on-the-job training from their immediate supervisors.

(2) Provide the equivalent of one-week's mandatory training for new (first line or new to the Library) supervisors within three months of appointment to acquaint them with basic personnel documents and mechanics of personnel procedures and to assure consistent practices throughout the Library. This would be presented by a mix of outside training contractors (for example, interviewing techniques) and Personnel Office managers supplemented by computer-based training packages for

hands-on experience in procedures such as the basics of drafting a position description or posting. A supervisor's manual designed as a how-to-do-it book (similar to the one being developed in Processing Department) would be provided each student for use in the course and to keep for reference. Personnel Office would coordinate the content of the course and manual, and Training Office, the logistics. Costs would include ongoing cost for outside trainers; major one-time cost for developing and producing initial computer-based training packages with revision budgeted every five years; development of working manual for supervisors; cost for training Personnel Office managers in how to present materials.

(3) Provide mandatory one-week supervision and leadership training course within first year on theoretical aspects: for example, motivation, delegation, leadership roles, accountability. Training Office would coordinate this. (Note: Consideration was given to having this within the first three or six months; however, there was concern on the part of some subcommittee members that people should be on the job long enough to feel a need to know; there is also the cost factor to consider.)

Option 1: Trainers, who are recognized as competent, enthusiastic, practicing supervisors at the Library and who can talk about the "real" world, would be provided with adequate instruction in training techniques, for example, through OPM, and would use standard training materials adapted to Library situations. Costs would include adapting and providing training materials for the students and a training course for trainers. (Note: A number of reviewers recommended against this because they would prefer professional trainers. The subcommitte prefers this option over the current arrangement until the training budget can be adequately increased.)

Option 2: Utilize outside contractor who spends considerable time tailoring the course to the LC situation and who provides trainers who have supervisory experience. Costs would include course development, training materials for the students, and on-site training by contractor.

Option 3: Develop a coordinated team teaching approach using both professional outside contractor as primary instructor and competent inside supervisors.

(4) Provide basic instruction on teaching techniques for every supervisor or other employee who is responsible for any form of on-the-job training. Costs would include hiring an outside contractor to present the training and to work with managers on follow-up techniques to assure application of the course.

(5) After the basic mandatory supervisory training, provide a progressive, integrated course of study to develop supervisors professionally (parallel to the way technical experts are developed) as they assume more responsibility; conduct annual reviews to assess individual supervisory skills, knowledges and abilities requiring improvement or enhancement; and provide a refresher course on basic Library personnel functions every five years. Some of the in-depth training (for example, EEO, labor relations, handling problem employees, use of the computer) could be provided by experts on the Library staff after adequate instruction in training techniques. Other training useful to a large number of supervisors (for example, problem-solving and decision-making, conflict resolution, communications, management planning and analysis, financial analysis, assertiveness) would be provided by bringing instructors in, while specialized courses (for example, government contract law) would be provided by sending staff members to outside courses.

Costs for this would include training trainers, bringing instructors on site, and the cost of sending supervisors to outside courses at training centers run by OPM, GPO, AMA or others (already in some organizational budgets).

D. Same as C except have training in paragraphs (1), (2), and (3) before the supervisor assumes duties of position.

Subject: Orientation

DOC 25

I. Statement of Issue

Currently orientation to the Library of Congress appears to be a sad drudgery for those doing it. In addition, orientation to the Library as a whole is not provided on a timely basis, but more often than not comes a year or so after the person has joined the staff; there are cases of people "dropping through the cracks" and not receiving orientation at all. In fiscal 1988, New Staff Orientation was scheduled only once. While some departments have a systematic approach to their own orientation, this is not universally true. Organizational values and what they mean to each person are not emphasized.

II. Analysis

Furthering the missions of the Library of Congress requires commitment and understanding on the part of staff members at all levels. To avoid early frustrations and to foster positive attitudes and support initial enthusiasm, it is important to provide an adequate orientation to the whole organization for all new employees whether permanent, indefinite, or temporary. In addition, employees need to know how they fit into the work of their department, division, and work unit and be aware of the values of the organization. Orientation is an important tool in helping to change the Library's culture.

III. Options/Recommendations

A. The first day should consist of filling out forms and a session on "How to Survive in the Library," with information basic to every employee, for example, on the cafeteria. Thee should also be a distribution of packets with basic written information, for example, on insurance, retirement, credit union (this could all be part of an employee handbook similar to LC and You), and of collective bargaining agreements, as appropriate Whatever the content, the presentation should be upbeat and enthusiastic to excite new employees about the Library.

B. Develop a system that automatically assigns new employees to an LC orientation session without requiring that supervisors initiate paperwork in the standard nominating procedure. The system should assure that supervisors are notified sufficiently in advance of an employee's assignment to an orientation session.

C. Orientation to the work unit should begin the first day of employment. Orientation to the division should take place with the first month of employment but no later than the third month, and to the department and Library as a whole within the first three months, no later than the sixth month. The timing on this will vary from position to position.

(1) Work site orientations should include:

(a) Review of the Supervisor's Checklist (LW 8/83, rev 5/85), including time and attendance procedures; the form should be signed by the supervisor and staff member and forwarded to the employee's division personnel folder. A system for follow-up should be devised for each division to use to assure this is done. (Personnel should combine the standard form with universal elements from Shared Cataloging's form.)

(b) Arrangement for in-depth orientation within the division by those with whom employee will interact.

(c) Copies of management plans, staff directories, position descriptions, performance requirements, and schedules, such as staff meetings.

(2) Division orientations should include:

(a) Overview of history and functions, goals, and objectives of the division, including organization charts.

(b) Distribution of reading material about the division. This can include most recent annual report and organization chart.

(c) Arrangement for in-depth orientations outside division by those with whom employee will interact.

(d) Review of administrative details.

(3) Departmental orientations should include:

(a) Overview of the functions of the department and how the various divisions fit in; how the department contibutes to mission of Library.

(b) What the relation of the department is to individual employees--when and why.

(4) New Staff Orientation to the Library of Congress should be scheduled once a month, be coordinated by the Training Office, and include:

(a) A welcome by the Librarian or Deputy Librarian of Congress and a discussion of mission and values of the Library and the expectations for each staff member relative to these.

(b) A tour of the Capitol Hill buildings, and when possible, a tour to outlying annexes, using a trained cadre of LC professional staff (similar to tour guides).

(c) An overview of the work of the Library, including functions of departments and major programs: a well-produced film can be used for this purpose.

(d) An overview of the LCRs (what they are, how arranged, availability), and brief presentations by LCPA, WRA, and other officially recognized employee organizations.

Subject: Automation Training

DOC 26

I. Statement of Issues

The widespread availability of microcomputers in the last five years has opened new windows of opportunity in the area of automation for the Library. Along with these opportunities for work simplification and potential savings, however, come new challenges. Perhaps the largest of these is training. How to provide adequate personal computer training for the increasing amount of staff who are required to use microcomputers in their jobs? How to schedule this training so that routine operations are minimally impacted? How should the training be layered to offer advanced instruction to those who need it? In what format should the training be offered? How to budget future training activities? How to measure the effectiveness of the training?

II. Analysis

The Library devotes a large amount of its resources to automation and automation-related activities. In fact, automation has become a critical part of many of the operations that support the Library's mission. This trend also seems to be increasing; during recent years, more emphasis has been placed on automation and its potential benefits. As of April 1988, more than 1,000 microcomputers were installed and operating in Library offices. These machines are finding an increasing amount of usage in an expanding variety of applications.

More office automation functions are being transferred to microcomputers, which have officially been chosen to perform word processing. More and more statistical tracking and reporting applications are being devised and planned: mailing list managers, staff productivity record handling systems, telephone directories, and economic forecasting models.

Parallel to the microcomputer and office automation training needs are the larger, "centralized" automation training needs of the Library. These include instruction in the use of the bibliographic control and retrieval systems managed by the Automated Systems Office. Also in this area are the office automation functions such as EMAIL, the Library-wide automated message handling system currently in use by the staff. Even if their jobs do not specifically require it, many staff members can benefit from access to the Library's collections. To effectively acquire this access, they must learn how to use the Library's online bibliographic retrieval systems. To effectively communicate with other staff members, they must learn how to use the Library's EMAIL system.

III. Options/Recommendations

A. LINK AUTOMATION PLANNING WITH AUTOMATION TRAINING. Direct administrative ties should be established between these two activities. Responsibility for automation training should be addressed at all levels, for example, when new systems are developed, there must be close coordination between the developers, users, and training coordinators. The Training Office and the Training Oversight Committee should continously review the situation to determine where automation training is so pervasive that central training should be provided.

B. AUTOMATION TRAINING. Who offers it and where it is offered are dependent on where the system is developed, who uses it, and so forth. For internally developed systems, ASO should train the trainers or key personnel who will then train other staff. For widely used commercial software, the Training Office should bring in an outside contractor for general courses in a centralized facility. For specialized use of commercial software, the departments should be responsible for providing training.

C. Establish communication channels with the automation users to continously receive input on the type and level of automation training needed. The established Microcomputer User Group (MUG) and the Online Users Group are possible candidates. These groups, comprised of actual users, could offer valuable planning information in the automation training area.

DOC 27

Subject: Work-Study Program

I. Statement of Issue

What the schools expect students to gain from the work study program and the type work they expect students to do has not always been communicated clearly to the divisions, and this has led to misunderstandings. Although this is a training program that should prepare students for work in the business world, they often are given only unchallenging assignments, for example, xeroxing, rather than a variety of monitored tasks. In addition, the students are rarely provided with an adequate orientation to their division or department, much less to the Library.

II. Analysis

Providing opportunities to senior high school students for practical work experience in an office setting contributes to their education and provides the Library with extra, relatively inexpensive assistance on routine jobs and special projects. The program is also valuable for attracting candidates for hard-to-fill clerical positions. Under the present program, students are guaranteed a job for a year, working four hours per day during the school year and full-time during the summer. Recruitment and Placement begins recruiting activities with the schools in the spring and communicates with the departments about their needs. If departments have sufficient funds available, the students can begin in June and work through the following May when they graduate. They may then be converted to permanent because they were selected under an approved training program.

III. Options/Recommendations

A. The Recruitment and Placement Office (R&P) should continue to have primary responsibility for coordinating the work-study program; this should include working with the individual schools in the District of Columbia, Virginia, and Maryland to establish clear guidelines (or contracts) for type of work to be offered students hired by the Library in addition to soliciting applications from students and recommendation letters from their counselors and working with departments to assess hiring possibilities based on the guidelines and each department's specific needs.

B. Departments should be responsible for developing a work plan for each student to be hired; the plan should reflect a progression of increasing independence and/or responsibility during the year and a variety of work experiences within the capabilities of a beginning level employee. Departments should also be encouraged participate fully in the recruitment process since competent supervisors personal contacts with counselors often benefits the Library in attracting better qualified students. The department should assign a person or persons to serve as liaison/mentor for the work-study students under its supervision. R&P should forward the work plan with the employment notification to the student, with a copy to the student's school.

C. Training Office should provide an orientation and tour of the Library for work-study students as a group the first day they arrive, introduce them to their Library liaison, and provide them with a special handout (developed cooperatively by R&P and the Training Office) geared to their status at the Library: the Library's commitment relative to their practical education, number of hours to be worked, on-the-job and other training, any benefits, evaluations, possible employment after the program is completed.

D. Library liaisons should meet briefly on a regular basis (no less than once a month) with the work-study students for whom they are responsible to assure that the program is going smoothly, answer questions students may have, and identify areas in which they may need to mediate problems or facilitate communication between the students and their immediate supervisors.

E. Within the first month of employment, the Training Office should provide a mandatory class on office decorum and telphone techniques. Other relevant classes could be considered as a result of a needs survey. Career counseling and encouragement for continued education at the college level could also be part of the program.

F. The Training Office, working with the departments, should develop a post work-study apprenticeship program for those high school graduates who have performed in a fully satisfactory manner and who wish to continue their employment at the Library. The apprenticeship program would include training to strengthen skills that would make the students more marketable to the Library.

G. A reception and ceremony could be held at the completion of the program to recognize the students

H. Departments should all be encouraged to plan their financial commitments whenever possible to enable them to begin their work-study programs in early June. This way the Library is more likely to get better quality students (who get picked off early) and can get the students started before they are distracted by the beginning of the school year. It also would make it easier to coordinate orientation and training sessions for the work-study students.

Subject: Training--Using New Technology

DOC 28

I. Statement of Issue

The Library of Congress is not using state-of-the-art technology for training purposes. While products are pouring into the marketplace and private industry is including such technology in corporate planning, the Library has not begun to explore seriously the possibilities for cost effective training through the use of computers.

II. Analysis

Computer-Based Training (CBT) and Computer-Aided Instruction consist of using a computer to assist and "tutor" a student through a ladder of predetermined lessons and exercises. The benefits of such an arrangement are readily apparent. First, the computer relieves the instructor from repetitive, time-consuming drill exercises. The instructor thus may devote more time to developing course contents, performing needs analysis, and planning future training activities. The end result is that the instructor's time and expertise are better utilized and the student receives the repetitive interaction and practice needed to "fix" the information being taught. Second, a student's progress is easily monitored. Because many advanced CBT systems allow automatic monitoring of responses to questions, trouble spots can be easily identified and clarifications and additional material may be added in this area. Individual student's responses can also be "pooled" to uncover any pattern by student characteristic (grade level, job series, job experience, and so on). Third, courses can be easily modified. This becomes important in situations where a new version of software or changes in administrative procedure determine that revisions be made to a course. Student feedback may be another reason for changes to existing course format or contents. CBT systems are specifically designed to allow this.

III. Options/Recommendation(s)

The Library should investigate state-of-the-art training technologies that might be used to increase training effectiveness and explore the feasibility of developing these techniques in the areas that are applicable. These technologies would include Computer-Aided Instruction and Computer-Based Training. Costs of developing such programs should be compared against standard clasroom training, looking at the number of people who will be affected and the anticipated benefits; the comparison should include the true cost of each training (staff time, development of lesson plans, preparation of training materials), the quality and consistency of such training, the flexibility of scheduling, and the interest level of participants in the methodology. Funding should be sought for a pilot project which would include both the creation of a training course and an evaluation study of its value to the participants.

DOC 29

Subject: Training the Trainer

I. Statement of Issue

Library technical and professional staff who are selected to train either on the job or in classroom situations should first be trained to train, but currently they are not. Some of them are trained educators and some are experts in their field, and they mistakenly believe training to train is superflous; however, educators and experts do not necessarily have inherent training skills. They can be taught these skills provided they have excellent oral communication and interpersonal contacts.

II. Analysis

Education and training are not synonymous. Training is teaching a person to "do" a new task or to "do" an existing task better. The emphasis is on "do." In the classroom or on the job, the trainees must demonstrate that they can perform the task being taught. Until the Library staff selected to train are provided with the necessary training skills, the Library cannot expect quality performance from trainees. Poor initial training to perform a task can undermine morale and serve as an impediment to the trainee's progress in his or her position. Quality performance should be the goal of every organization, but it cannot exist and flourish without quality training. To achieve its mission, the Library must invest in training its trainers.

III. Options

A. PROVIDE NO TRAINING FOR LC TRAINERS. On the surface, this option might appear appealing in that no time and money have to be expended training the trainer, but this is an illusion. In fact, the Library would be wasting time and money because it would be using staff to train who lack training skills. Consequently, minimal learning will take place in the classroom, and thus the staff time invested in attending training courses is wasted.

B. CONTRACT FOR A COURSE TO TRAIN LC TRAINERS. Numerous courses are available, but they are not designed to meet the training needs of any given organization. Although contracting out will mean an ongoing financial investment, no time or resources will have to be invested in course development. Most staff would be trained to train in advance of their being given the opportunity to train, however, since courses for trainers will not always be available at the most suitable times. Thus, training skills may be lost before they are used. In addition, contracting out will be expensive.

C. AN LC COURSE TO TRAIN ITS TRAINERS. This option is the most desirable, even though it will involve an initial outlay of time and resources. The Library has the right to design and modify its course at will, gearing it towards technical or managerial trainers. It can be offered whenever staff are selected to train--immediately before training a staff member or their classroom experience; it can be abbreviated when a staff member only needs a refresher course; and it can be modified as needed. It also has the advantage of being the least expensive method of training in the long run.

DOC 30

Subject: Recommendations on Training at the Library of Congress (Amplified Support Document)

I. BACKGROUND--TRAINING RECOMMENDATIONS

A. LEGAL BASIS

1. Federal Law

Chapter 41 of Title 5, U.S. Code, is the basic statute authorizing employee training thoughout most of the Government. It includes the Library of Congress and places responsibility for training specifically with the head of each agency. Agencies are responsible for determining the training needs of the agency, the kinds of training to be provided, and the method and extent to which the agency will finance training; establishing, operating and evaluating training programs; establishing criteria, selecting and assigning employees for training, including on-the-job-training; and estab‹ ing appropriate administrative controls and conducting research related to training objectives and technology.

Executive Order 11348, April 20, 1967, provides agency heads with direction on the manner in which the general statutory authority is to be used.

Section 4103 of Title 5, United States Code provides that training programs and plans under the law shall conform to the principles, standards, and related requirements in OPM's regulations issued under the law.

2. Library of Congress Regulations

LCR 2017-1, Staff Training and Employee Development Policies in the Library of Congress: The Library considers it a responsibility of management at all levels to promote efficiency and economy of operations through staff development by encouraging staff members to engage in self-education, self-training, and self-improvement programs, and to supplement such employee efforts by providing on-the-job training and both in-service and out-service training where needed and feasible.

LCR 2017-1.1, Training Responsibilities and Procedures: Individual staff members are responsible for notifying their supervisors when they feel a need for training; immediate supervisors are responsible for evaluating work performance and evidences of production which indicate training needs, for recommending training, and for follow-up and counseling; department heads and division chiefs are responsible for periodically evaluating training needs of their staff, for providing training to fulfill current and planned mission needs, for communicating with the Training Office, and especially for developing capable supervisors; the training officer is responsible for assembling, analyzing, and synthesizing training requirements from departments, proposing training courses, recommending an annual training budget, reviewing and approving training proposals and advising and counseling supervisors and employees; the Training Advisory Committee is responsible for reviewing the recommended annual training program, providing advisory guidance to the training officer, and making recommendations to the Librarian regarding training priorities and program support.

LCR 2017-1.2, Supervisory Training Program: Each supervisor in the Library is required to take no fewer than 80 hours of formal supervisory training courses which will include the fundamentals of supervision and current Library personnel policies and procedures. The Staff Training and Development Office is responsible for planning, scheduling, advising, and maintaining records on supervisory training; department heads are responsible for participating with STDO in planning and evaluating, assuring that supervisors attend mandatory supervisory training programs and have equal opportunities to develop supervisory skills, and making an annual training needs review; the Supervisors are responsible for keeping up to date in their areas of specialization, including mandatory training, and providing information to assure that record-keeping on their training is maintained accurately.

B. FEDERAL TRAINING NEEDS GUIDELINES

The identification of training needs starts with the identification of knowledges, abilities, and skills required for maximum effectiveness in agency positions at all levels and then proceeds to the identification of ways to acquire them, both through training and non-training approaches.

Under Chapter 41 of Title 5, U.S. Code, each agency is required to review periodically, but no less often than annually, its programs to identify training needed to bring about more effective performance at the least possible cost. Reviews must consider individual employees' training needs as related to the agency's program objectives and must include long-range as well as immediate needs to be met through Government or non-Government facilities. Reviews of training should be conducted in a planned and systematic manner at both the local and agency levels to identify all significant needs; based on realistic assessment of conditions, operating problems and performance of the workforce, and take into consideration future program and staffing needs; and represent conclusions of line management, and provide opportunity for staff views to be expressed.

Records are to be maintained showing the date of the review of training needs, procedures used, and findings and recommendations as a basis for planning and evaluating the training program.

Each agency is required to develop written policies to govern the training of employees in the agency. Policies should give the purposes of employee training and commit all levels of management to comply; be realistic, clear, and definite in terms of responsibility; provide room for the exercise of discretion; and be issued and supported by the agency's chief executive.

Each agency head must consciously and actively plan, program, and budget for training. The agency's training management staff should work in close collaboration with program managers and budget staff to make adequate plans and justifications for the training program.

Each agency must carefully analyze and evaluate the results and effects of training provided to employees to determine whether the training programs are effective. At a minimum, evaluative methods should include a careful analysis of the extent to which specified training courses or programs produce desired changes in employee knowledge, skills, attitudes, or performance; the extent to which training courses cover areas of greatest need; and the need for modification in the training courses to meet changing agency needs.

II. ADDITIONAL INFORMATION

TRAINING: INDUSTRY STATISTICS

A review of the literature reveals that organizations' training and staff development efforts are as varied as their missions and cultures. A 1987 survey by Training Magazine of organizations with 50 or more employees reveals the following basic statistics:

38.8 million workers collectively receiving 1.2 billion hours of training at a total cost of $32 billion. That works out to be $824.74 per worker.

Average hours per trainee ranged from a high of 42.6 for salespeople to a low of 16.9 for office and clerical employees. Management training ranged from 36.6 for middle managers to 33.3 for first-line supervisors.

Companies have a choice of inside only, outside only, or a combination of inside and outside training sources. They are most likely to use outside vendors only for training for executives (35.6%), senior managers (23%) or professionals (26.5%). Production workers (59.0%) and customer-service people (44.0%) are more likely to receive training designed and delivered by the in-house trailing department.

A third of all companies are now using the computer as an actual instructional device, i.e. computer-based training (CBT). Interactive video training is used by 20 percent of large companies.

Computer training for employees outside the DP department is primarily handled by trainees' own department (31.6%; figures have an inverse proportion with size of organization: 38% of those with less than 100 employees, 16% with over 10,000.), next by the Data Processing department (29.6%), and then by Training department (19.8%).

Organizations with 2,500 - 9,999 employees are most likely to provide management skills/development (91.3%), Communication skills (84.9%), supervisory skills (82.2%), or technical skills/knowledge (76.4%), and least likely to offer remedial basic education (24.3%) and customer education (33.9%).

For specific types of training, those offered by more organizations with 50 or more employees are new-employee orientation (75.8%), performance appraisals (63.5%) and time management (61.4%). That most frequently offered in-house only is new-employee orientation (70.1%), outside only is stress management (20.3%), and a combination are time management and leadership (both 26.8%)

Organizations with 2,500-9,999 employees allocated training dollars for outside expenditures as follows:

Hardware	$ 57,746
Off-the-shelf Materials	39,641
Custom Materials	36,369
Seminare/Conferences	79,799
Outside Services	32,810
TOTAL	$246,366

In addition, Opinion Research Corporation completed 756 telephone interviews (93% response rate) with training and development executives from a random stratified sample of U. S. companies employing at least 250 people. The findings provide the following:

Approximately four of five companies, expecially larger employers, earmark monies for training every year.

The average number of professional training staff in the companies surveyed was 10. Trainers tend to be located in many operational areas throughout the organizations.

About half the training executives indicated that a needs assessment approach is used most or all of the time. The most frequent methods used are personal interviews (83%) and direct observation of work (80%).

Organizations described as more innovative had higher participation rates for employee training; the average was 38 percent.

The average company subsidizes slightly over 70 percent of the tuition costs for courses an employee voluntarily attends at a school or university.

When training new managers and supervisors, most attention is given to employee performance-related issues such as employee discipline, followed by employement-related topics such as employee selection.

From 41 in-depth case studies Training Magazine has compiled the following data:

Average training expenditures for formal classroom or individualized instruction break down as follows:

Salaries - of inhouse training and development staff and employees with parttime responsibilities: 47.8%

Outside purchases - customized training programs purchased from outside vendors 12.1%

Raw materials - blank videotapes, packaging, etc. for in-house productions 3.1%

Hardware - audiovisual equipment, computers 1.9%

Facilities - classrooms built or remodeled 4.6%

Overhead - rent, clerical support 7.1%

Off-site meetings - expenses for off-site training, including travel, etc. 15.7%

Other - miscellaneous expenses 7.2%

Other statistical averages:

Employee-to-trainer ratio 630:1
Note: At&T = 102:1
USPS = 545:1

Man-hours per employee 25.6

Training Budget as % of Sales, Budget, Assets, etc. 1.0

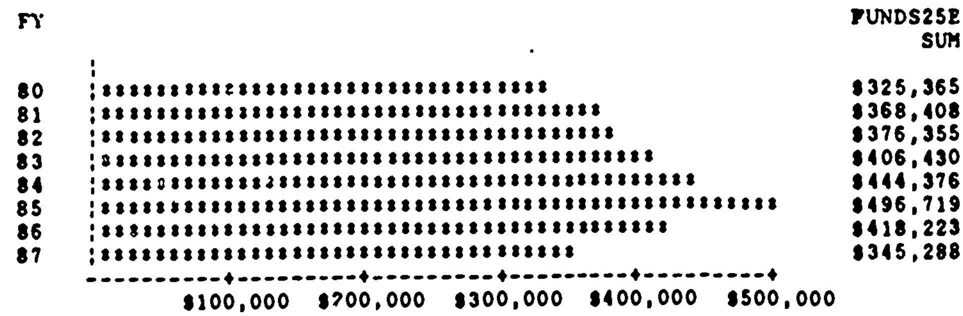
Training Budget, as % of Payroll 3.3
Note: NASA = 12.3%

Library of Congress 10:45 Monday, May 9, 1988
MAP Committee 1
Subcommittee on Leadership and Organizational Development
Analysis of Expenditures of OBJ CLASS 25E Funds
Fiscal Years 1980 through 1987

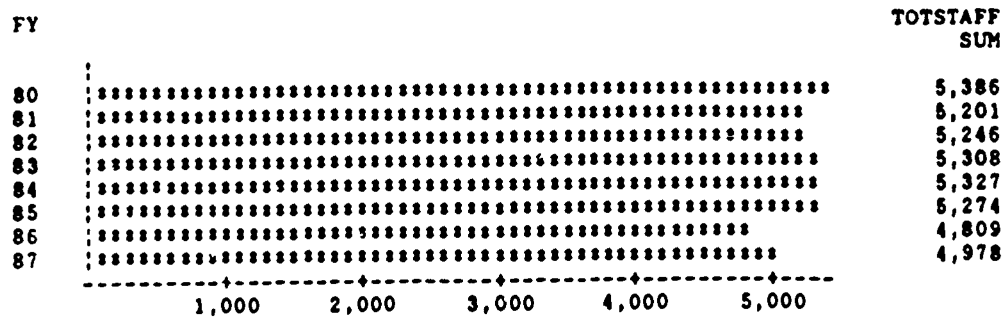
FY	TOTSTAFF	FUNDS25E	PERSTAFF
80	5,386	$325,365	$60
81	5,201	$368,408	$71
82	5,246	$376,355	$72
83	5,308	$406,430	$77
84	5,327	$444,376	$83
85	5,274	$496,719	$94
86	4,809	$418,223	$87
87	4,978	$345,288	$69

Subcommittee on Leadership and Organizational Development
Analysis of Expenditures of OBJ CLASS 25E Funds
Fiscal Years 1980 through 1987

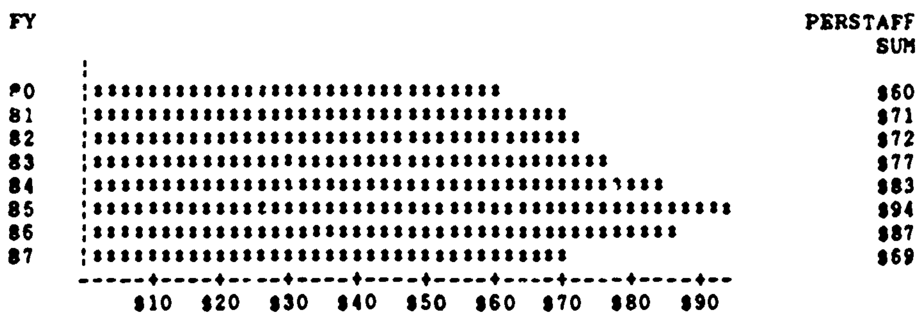
SUM OF FUNDS25E BY FY



SUM OF TOTSTAFF BY FY



SUM OF PERSTAFF BY FY



Subject: Unprocessed Arrearages

I. Statement of Issue

Within the Library there are large and growing arrearages of unprocessed materials, some of which have been untouched for scores of years. ("Processed" in this context includes not only the establishment of bibliographic control and measures for organizing and providing access to materials, but also the physical preparation for storage and handling to minimize the risk of damage or loss.) The unprocessed arrearages include many thousands of monographic and serial materials awaiting cataloging by Processing Services, plus millions of items in custodial divisions in Research Services. Many of the former are under preliminary-level bibliographic control, but most of the latter are not. The existence of items under preliminary bibliographic control can be discovered only by direct access to the Library's online in-process file or, in many cases, use of a card file. The existence of other items, particularly those in special formats, can be established only by browsing in the unprocessed materials. Such an approach is inefficient and usually impractical; in the case of unprocessed prints and photographs it has been prohibited because of preservation and security concerns. Without significant changes in procedures and staff resources the arrearages will continue to grow.

II. Analysis

Although the Library of Congress is not alone in its inability to process its entire holdings, the continued growth of our arrearages presents several special problems. First, and obvious, is the lack of knowledge of, and access to, items in our possession. Second, other libraries depend on the Library of Congress for cataloging and other bibliographic information. Without cataloging and other products which aid description and access, other libraries who may own some of the same materials, particularly books and serials, will have to choose between investing their own resources in original cataloging or keeping the items in their own arrearages. Third, much of our arrearages consists of unique items that will be unknown unless we process them. Fourth, until processing occurs, the preservation needs of the arrearage items are not known; deterioration which could be arrested may not be stopped in time. Fifth, some of the arrearages are stored in unsuitable physical surroundings which place them in hazard of damage, loss, theft, or premature deterioration. Sixth, and arguably most important, the Library's failure to process and properly safeguard its collections will, if known, discourage potential donors from entrusting their holdings to our care.

The arrearage situation is the product of an imbalance of resources. Its composition results from a mixture of labor-intensive processing procedures, an absence of coordination among the Library organizations involved, insufficient staff resources, and an ad hoc approach as regards priorities. Major improvement in the situation must address all of these factors, but useful advances can be made by attention to any one of them. Perhaps the most pressing need is for a determination of the Library's overall priorities for dealing with the arrearages. Until this is done, the ad hoc approach will prevail and the Library's limited processing resources will not be effectively used.

III. Options

A. Make the virtual elimination of unprocessed arrearages a primary goal of Library operations. This is an ambitious goal, but one that must receive continuing commitment and vigorous attention throughout the Library. Make the present situation clear to the Congress and obtain its ongoing support, including additional resources, for the accomplishment of this goal.

B. Conduct a complete census of the Library's unprocessed arrearages of all types. Develop for the Librarian's approval a detailed, long-range plan for elimination of the arrearages, including methods and resource estimates for the processing of each component. This plan should take into account not only the needs of the Library but also the benefit that would accrue to scholars and other libraries.

C. Act vigorously and creatively to obtain private funding for work on the arrearages. Sources to be investigated could be general interest (such as foundations) or closely linked to the materials in question (for example, support from Kodak for processing photographs).

D. Implement frequent reporting to all parties concerned about the size and composition of arrearages of current publications.

E. When appropriate, seek outside resources to assure the prompt processing of major gifts of materials for the collections. Such resources could come from the donor, an associated party, or an independent source. Public announcements of such acquisitions would include mention of both the donor of the materials and the provider of the resources to process them.

F. As appropriate, place parts of the Processing Services arrearages in the temporary custody of Research Services divisions until processing can be completed.

G. Require the preparation of an acquisition impact statement for contemplated extraordinary acquisitions. This statement would set forth plans for the extent and timing of processing to be provided and address all impacts the acquisition would have on processing resources, potential disruption of the processing of other materials, preservation requirements, space and equipment needs, and other pertinent information.

H. Consider placing some unprocessed materials at other institutions where they would be processed and made available for use, subject to conditions established by the Library, but would remain the property of the Library and could be recalled under certain circumstances. An example is the placement of the depression-era Federal Theater Project materials at George Mason University.

I. Do not acquire materials for the Library's collections unless there is a high level of confidence that they will be processed within a reasonable period of time.

IV. Recommendation(s)

Implement options A through G.

DOC 32

Subject: <u>Cataloging Special Collections, Arrearages, and Materials Unique to the Library</u>

I. Statement of Issue

The United States relies on cataloging records from the Library. These records have formed the very basis for the online catalogs of the bibliographic utilities and for the distribution of catalog cards and other products by these utilities and private vendors. The Library has supplied much of the cataloging for English-language as well as foreign-language materials. But while the Library has been successful in these areas, large numbers of items, especially in the special materials collections, have remained uncataloged. Many of these materials are unique to the Library, and, if uncataloged, are virtually inaccessible.

II. Analysis

At the MAP meetings held over the past year, a significant amount of concern was expressed about the number of uncataloged materials in the special collections. At both the September and October National Advisory Committee meetings, there was also a great deal of discussion about these uncataloged materials as well as the cataloging arrearages of nonspecial collection items. Cataloging the special collections and eliminating the cataloging arrearages of other materials were deemed as high priorities, and suggestions were made aimed at reducing the number of uncataloged materials. Discussions of unprocessed arrearages elicited a multitude of problems arising out of the situation. The lack of knowledge of and access to the items, the investment in the cataloging of these materials by other libraries that own some of the same titles, the unique aspect of many of the materials, the possibility of damage, loss, theft, or premature deterioration, and the potential discouragement of donors from entrusting their gifts to the Library's care. Options presented included the development of a long-range plan, obtaining private funding, and seeking outside resources for the processing of gifts.

If outside funding and the availability of additional appropriations are limited, the Library will need to look at other means for accomplishing the "high priority" objective of cataloging the special collections and eliminating the arrearages.

III. Options

To ensure that the special collections are cataloged and the arrearages are eliminated, the Library could:

A. Rely on other libraries in the nation to catalog the mainstream English- and foreign-language materials. The Library's cataloging efforts could be concentrated on the uncataloged special collections, the arrearages, and new materials that are likely to be unique.

<u>Pro:</u> The Library would be able to focus its resources on the materials that are unavailable elsewhere. Research at the Library would be enhanced with access to these materials whose existence otherwise would not be known.

<u>Con:</u> This proposal was discussed at the September NAC Meeting. The participants in the meeting felt that the Library had an important role in the cataloging of materials for the nation and that this role should continue. While other libraries could potentially assume additional cataloging responsibilities, there would have to be inducements, such as payments, for this to occur. In addition, money has been included in the Library's budget over the years to produce cataloging which can be used by the nation's libraries. It is not always possible to know which materials are unique. Finally, the cata-

loging process is already underway for many of the English-language materials with the CIP program. CIP also yields the advantage of providing free copies of materials that can either be added to the collection or distributed through the Exchange and Gift program.

B. Enlarge the membership in the National Coordinated Cataloging Program (NCCP).

Pro: Libraries participating in the NCCP are trained to produce cataloging meeting the Library's standards of quality. If sufficiently broadened, a large enough number of records might be contributed to be of real assistance in allowing the Library to divert its cataloging resources to the special collections, the arrearages, and so forth.

Con: Initial training of the NCCP participants is time-consuming. It may be difficult to find libraries willing to take on a greater cataloging load without some tangible benefits for them.

C. Use the cataloging on the bibliographic utilities in as many instances as possible to replace the cataloging done at the Library.

Pro: Time would be saved in not cataloging materials when there is already cataloging available. Though cataloging obtained from the utilities might have to be modified, this would involve less time than original cataloging.

Con: The Library's cataloging is used by others to upgrade their records. While the transfer of bibliographic records via the LSP connection would be an essential component of implementing this option effectively, at the present time only the ability to transfer authority records is in place.

D. Rely on other libraries, such as the participants in NCCP, to perform CIP cataloging or to upgrade the CIP records.

Pro: The CIP program is a drain on cataloging resources. There would probably be significant time savings if it were not done at the Library.

Con: The CIP data is widely used by the nation's libraries as well as the Library. At the October NAC Meeting, there was tremendous support expressed for the program; it is seen as a valuable effort of the Library. The Library already has well-developed contacts with established publishers. It might prove very difficult to coordinate other libraries doing the CIP, and there might be insufficient incentives for them to assume the responsibility of upgrading the records. The Library would not receive the free CIP copy of the cataloged title.

E. Reallocate resources currently used for the National Union Catalog (NUC) to the cataloging of the special collections, the arrearages, and so forth.

Pro: Sales of the NUC Books product, in particular, have been declining. A market research study undertaken in 1985 revealed that the subscribers (primarily academic libraries) frequently used the NUC to complement online access to bibliographic records. While there was a core group of subscribers who felt the NUC was important, the study showed it was unlikely that former subscribers could be attracted back to purchasing the NUC products. Substantially increased sales to new subscribers also did not appear likely based on the format, price, and the use of alternative sources of bibliographic data. A study performed ten to twelve years ago indicated that 80 to 85 percent of the contributed records were already available in machine-readable form on the utilities. Though the costs for production of the master fiche, duplicate fiche, and distribution of the product are included in the cost of NUC Books, the investment of the staff (80 to 85 positions) in upgrading and inputting the contributed records is not included. The 80 to 85 positions could be reallocated to the special collections and arrearage cataloging effort. A recent study conducted of a sample of NUC Books subscribers indicated that 80 percent would continue to purchase the product even if the contributed records were eliminated. Additionally, those attending the NAC meetings were in favor of discontinuing NUC Books, if the resources were reallocated to such projects as cataloging special collections, cataloging the arrearages, PreMARC cataloging, and work on making the Linked Systems Project (LSP) fully operational. Finally, the LSP and the potential for the utilities (OCLC and RLIN) and the Library to transfer bibliographic records among each other might largely obviate the need for NUC Books (especially since most of the large libraries subscribing to this product are already a member of one or the other of these utilities). The LSP, a project considered of great importance by NAC, would provide the means of bringing about a national bibliography in a fuller sense than currently exists with the NUC.

Con: Another method for collecting, editing, and distributing the records of preservation microform masters would be necessary. While there are staff involved in upgrading and inputting the NUC Books records who would be qualified for the alternative needs identified above, other staff would require additional training. Two studies are still underway: One study is examining the changes made to the contributed records by staff at the Library, and the second study is looking at distributing the NUC records through a tape service. The results of these studies have not yet been reported.

IV. Recommendation(s)

Complete the two pending studies by the end of 1988 and implement E if these studies (in combination with the data from the other studies) justify the action. Implement B if the results of the pilot NCCP are positive. Implement C when the LSP bibliographic record transfer capability is operational. Investigate D further and implement if the benefits outweigh the costs.

Subject: Selection Process

I. Statement of Issue

Since much of the Library's material is received somewhat automatically through copyright and the Exchange and Gift Division, the selection process is significant in developing collections. Unlike most libraries, the Library's recommending and selecting functions are largely independent of each other. Recommending officers are located in Research Services, National Programs, and the Law Library; the Selection Office (staff of three) is located in the Collections Development Office. The Selection Office is responsible for Roman and Cyrillic language material and for some microforms, not for other special format materials. Concerns which need to be addressed are (1) synchronization of recommending and selecting processes; (2) size of staff for the Selection Office; (3) role of the field offices; (4) centralization of the selection process.

II. Analysis

A. Synchronization of Recommending and Selecting

Separation of these functions and the size of the Library prevent successful communication about collections development. Owing to the large amount of material being received daily, the Selection Office staff can give it only a cursory look and make quick decisions based on their experience and knowledge, country of publication, publisher, format, and other criteria. Marginal and interdisciplinary material may not be sufficiently examined. Although recommending officers are encouraged to inspect material for their areas when it arrives in the Exchange and Gift and Order divisions, the procedure does not adequately cover material of value to several areas. A perception exists--accurate or not--that the Selection Office rejects material originating through recommending officers, because (1) the items fail to meet selection criteria, and (2) the Selection Office is unaware of the origin of the recommendation.

B. Size of staff in Selection Office

Two staff select monographs; one, serials. An expressed opinion is that a small staff enables a more uniform selection of materials. A larger staff--while lessening uniformity--would allow regular attention to Acquisitions Policy Statements, collecting special format materials, developing links among collections, and more maintenance of the collections, including weeding and identifying lacunae.

C. Field directors

The Library invests resources to have LC personnel in countries where publishing is not well developed, and these field directors have unique knowledge of publishing and the availability of materials in the countries for which they are responsible. The selection decisions made by these officials can be overturned by the Library's Selection Office in Washington. More material is being cataloged in the field offices to take advantage of language expertise which is not available at LC, and the importance of the field directors' selection decisions increases as more processing takes place in the field. Field directors should have final responsibility for recommending and selecting material for the collections.

D. Centralization

Selection is centralized except for non-Roman and special format materials (excluding microforms). Staff outside the Selection Office perceive an imbalance in staff size with respect to volume of material and some areas of specialization.

III. Options

A. Make a single senior officer responsible for recommending and selecting functions that are performed throughout LC. This will most likely require some form of matrix management.

B. Extend selection responsibilities to include recommending officers and other librarians. While more subject and language expertise would be available, accountability and supervision would suffer.

C. Establish the authority of field directors for selection decisions.

D. Continue as is.

IV. Recommendation

Implement options A through C.

DOC 34

Subject: Collections Development

I. Statement of Issue

As part of the 1978-79 reorganization of the Library of Congress, the Assistant Director for Library Resources of Research Services and his staff were transferred to the Office of the Librarian to form the nucleus of a new Collections Development Office. To it were added the Evaluations Office (formerly part of the Order Division), the Selection Office (formerly under the Director for Acquisitions and Overseas Operations, Processing Services), and the Reference Collections Acquisitions Specialist (formerly part of the General Reading Rooms Division). The placement of Collections Development in the Office of the Librarian signified its Library-wide purpose.

Collections development is a concept, and the basic question which has to be resolved concerns the role of the Collections Development Office. Is it to develop the Library's collections development philosophy and to provide a framework for a systematic approach to developing the collections through such documents as the Acquisitions Policy Statements? Or is it an operational office actually involved in recommending, selecting, and acquiring? The resolution of these basic questions and the location of the collections development function in the macro-organization will determine the appropriate options for recommending and selecting functions.

II. Analysis

The Collections Development Office has been given a mandate but, in fact, little authority. In general, at the Library of Congress, "office" indicates that the unit does not function on the operating level. The book budget is not under the authority of the Collections Development Office, and responsibility for the acquisitions travel fund is shared with Processing Services and Research Services. The recommending officers (ROs) who report to the Collections Development Office in their recommending functions are located in Research Services and National Programs; the Collections Development Office has no authority over them. The Law Librarian is responsible for the development of the Law Library's collections and its recommending officers.

A. Allocation of Resources

The small size (currently 12 filled positions) of the Collections Development Office does not allow effective fulfillment of responsibilities at the operating level.

Collections Development is responsible for circulating bibliographies, dealers catalogs, and so forth to the recommending officers. Such sources are likely to be of interest to several ROs. Frequently, the catalog is sent only to the most obvious RO. Because of the time required to circulate these sources, items may not be available when ordered. Circulating multiple copies of these sources is a simple and attractive solution, but Collections Development would need staff for coordinating recommendations. Requiring ROs to come to the Collections Development Office would be difficult to enforce, and might result in fewer recommendations.

The Collections Development Office approves all acquisitions recommendations, resulting in delays; recommendations go from the RO to Collections Development, and then to the Order Division. That trip may occur several times before the order is placed. A dollar sum should be established beyond which approval by the Collections Development Office is needed.

B. Acquisitions Policy Statements (APS)

Acquisitions Policy Statements are the practical formulations of the Library's collection development philosophy and are a tool for a systematic approach to collections development. They should ensure a Library-wide philosophy for the collections and not reflect parochial interests of individuals or divisions. APS are the logical place for prioritizing acquisitions and for providing guidelines for environmental impact statements to be prepared, as appropriate, when potential acquisitions are under consideration. Responsibility for assuring the development and maintenance of APS lies in the Collections Development Office, but lack of staff prevents the Office from fulfilling these functions systematically. A clear line of authority for compiling and revising APS is badly needed.

C. Law Library

The Law Library is not within the jurisdiction of the Collections Development Office. More coordination is needed between the Law Library and the other custodial units to ensure systematic collections development and reduce the likelihood of duplicate acquisitions. Establishing a unit of subject bibliographers and making the Law Library accountable to the Collections Development Office would aid systematic development.

D. Deposits and Acquisitions Division, Copyright Office

Because of its genesis in the copyright law, the Deposits and Acquisitions Division was placed in the Copyright Office; it serves a vital acquisitions function. Operationally, it has little involvement with the Copyright Office, except the General Counsel. This division has the potential to reduce the amount of money the Library spends on acquisitions by legally claiming publications that have not been deposited. (Publications valued at over $1 million were claimed in both fiscal 1987 and fiscal 1988.) A small staff and lack of communication with other acquisitions divisions currently prevents this potential from being realized even more fully.

III. Options

A. Continue as is with the Collections Development Office involved in developing policy and at the operating level.

B. Make the Collections Development Office responsible for policy only.

C. Make the Collections Development Office an operating unit and assign additional resources.

D. Assign authority for development of the law collections to the Collections Development Office.

E. Determine whether a new administrative location is desirable for the acquisitions functions of the Deposits and Acquisitions Division of the Copyright Office.

F. Establish a dollar amount beyond which individual purchases must be approved by the Collections Development Office.

IV. Recommendation

Options A through E are organizational matters which should be considered in relation to the macro-organizational structure of the Library that results from the MAP process, studies conducted by

Arthur Young, and related activities.

Implement Option F.

Subject: Recommending Officers

DOC 35

I. Statement of Issue

The Library's stated vision is "to develop collections in all fields, in all languages, and in a variety of formats." To fulfill that aim, recommending officers must have language and subject expertise or knowledge of special formats as skills and dedicated time to carry out their assignment. Theoretically, this approach is systematic in design, but it fails in implementation because of budget restraints, an absence of recommending officers in some areas, lack of time for the responsibility, and insufficient supervision and accountability.

II. Analysis

Recommending officers typically have few, if any, hours assigned solely to collection development: they work on an ad hoc basis, as time permits, with recommending thus given a lower priority. Lack of assigned time is a critical element in the perceived faults of collection development. Participation in regular review of approval plans, checking standard and new subject bibliographies, and staying informed about new publications--all are below satisfactory levels. Gaps in the collections thus result from personnel vacancies; from the absence of a systematic approach, and from the low priority given to recommending. For areas in which there is no recommending officer, the Selection Office has become the de facto recommending officer. In their recommending capacity, recommending officers report to the Collections Development Office, which has no supervisory authority over them, and thus no clear line of authority exists. Bibliographies, catalogs, and other sources are routed by Collections Development for review. The length of time required frequently means that the material is no longer available when an order is finally placed.

III. Options

A. Appoint staff in departments other than Research Services, National Programs, and the Law Library who have subject, language, or special format expertise to serve as recommending officers.

B. Create a section of bibliographers whose sole responsibility is collections development. To ensure accountability the office would report to a manager who is responsible for developing the collections. All or some of the bibliographers would be located adjacent to reading rooms to ensure participation in the reference/research process and awareness of the needs of readers. More selection by title might decrease the number of items received on approval plans. Close monitoring of approval plans would be the responsibility of the bibliographers. Bibliographers would be required to review bibliographies and catalogs in a central location to expedite that process. Acquiring bibliographies on disks and other media would be investigated.

C. Provide more support for recommending officers and continue to utilize their special subject, language, and format knowledge. To ensure accountability, include performance of recommending functions in annual performance evaluations.

D. Investigate the possibility of joint appointments. For example, subject catalogers would spend a portion of their time performing reference functions, including recommending.

IV. Recommendation

Implement Options A through D.

Subject: Cooperative Collection Development

I. Statement of Issue

The Library of Congress neither has, nor is likely ever to have, the resources needed to acquire, process, and house all research-level materials. The Library can concentrate on collecting certain materials, relying on other institutions for materials in designated areas, through cooperative collection development. The benefits of cooperative collection development to the Library of Congress are improved access to information for users and the ability to focus resources on priority areas.

Scholarship, research, and libraries are being transformed by developments such as improved access to holdings through OCLC and RLIN, increases in the number of machine-readable records, enhanced searching capabilities, and rapid document delivery--all of which influence cooperative collection development. These developments have changed the way in which library collections may be developed cooperatively.

II. Analysis

Materials are selected for the Library's collections according to Acquisitions Policy Statements. Levels of collecting vary, depending on the nature of the materials and their relationship to the Library's mission. The Library does not collect technical agriculture or clinical medicine. In addition, there are a limited number of areas in which the Library relies on other libraries to acquire materials more comprehensively. Some of these agreements are formal (such as the agreements with the other two national libraries); some less formal. For example, LC deemphasizes collecting local and state materials that are more comprehensively collected by state libraries; LC also does not heavily collect Masonic publications, which are comprehensively collected by the Collingwood Library and Museum on Americanism. In either case, however, the agreements are limited primarily to collections only and do not include sharing of bibliographic information, document delivery, or reference referral.

To be most successful, cooperative collection development should include cooperative cataloging, online bibliographic records available to users at cooperating institutions, document delivery, and reference service. Cooperative agreements must be approved by the administrators of all libraries involved to insure institutional commitment; information about these agreements should be disseminated widely.

III. Options

A. Expand current practices so as to collect universally; rely on the other two national libraries for clinical medicine and technical agriculture.

B. Collect in areas and at levels consistent with current Acquisitions Policy Statements. (This would be an expansion from present practice because, for a variety of reasons, the policy statements are not strictly followed in all cases.)

C. Document, evaluate, and publicize within the Library all existing cooperative collection development agreements in which the Library participates.

D. Identify certain areas (print and nonprint) in which the Library might engage in cooperative collection development and begin a pilot project with another institution to include sharing of bibliographic information (the input of the other institution's holdings in the shared subject into the Library's data base); rapid document delivery, reference referral, cross-training of staff, and priority cataloging for items on agreed-upon subjects.

E. Become full members of organizations involved in cooperative collection development activities (for example, the Research Libraries Group, OCLC, the Center for Research Libraries) in order to participate more fully in planning for resource sharing activities. Investigate formal cooperation with the Consortium of Universities of the Washington Metropolitan Area.

F. Identify areas for which cooperative collecting agreements can be reached with libraries outside the United States.

G. Sponsor a conference for scholars, librarians, and representatives of major scholarly organizations to consider how changing research methodology and information demands are affected by and affect cooperative collection development, addressing both national and international concerns, as well as the role of the Library of Congress in these developments.

IV. Recommendations

Implement options B through G.

Subject: Improving Cataloging Practices

I. Statement of Issue

The Library of Congress and most other libraries do not have sufficient resources to catalog or provide alternative forms of identification and access in a timely manner (if at all) for all the materials they acquire. Available resources are stretched thin by adherence to extensive, detailed, and complex cataloging rules and procedures.

Cataloging should be done to serve the needs of varied end users. The evolution of cataloging practices appears to have occurred with insufficient consideration of the end user, responding instead to technological change and the dynamics of the national and international communities of technical services professionals. While this has produced improvements, it has also increased the resources needed to catalog the average item. In the end, fewer items can be fully cataloged by the average research library, while many others sit in arrearages and are unknown and/or unavailable to potential users.

II. Analysis

The inability of libraries to catalog or otherwise provide access to the materials they acquire has created a chronic and worsening crisis whose adverse impact on users and the nation is beyond measure. The situation is especially acute at the Library of Congress, where virtually all cataloging is original and done with rigorous attention to completeness, consistency, and accuracy. Under these circumstances, there is scant hope of being able to catalog our large arrearages of books and nonbook materials.

Recognizing the need to keep this situation from worsening, and to improve it wherever possible, Processing Services is exploring ways of improving the Library's own cataloging practices. This offers much promise for increasing its output. A wider benefit will also result because many other libraries adhere to the Library's practices in doing their own cataloging. These improvements, however, will not provide adequate relief from the burden of existing cataloging practices, codes, and other agreements. (As an early step in addressing these, Processing Services has recently begun an effort to have IFLA reconsider the international conventions for punctuation in cataloging.)

The rules and procedures that govern cataloging have been created within the technical processing community and serve purposes defined mostly by it alone. Given the rapid growth of publishing, libraries' inability to provide adequate and timely identification of, and access to, all of the items they acquire, and new technologies available to libraries and their clients, the time has come for a fundamental reexamination of the purposes, precepts, and methods of cataloging. This reexamination should begin with an empirical determination of the needs of end users and the means and paths through which they are, and might be, served. From this knowledge can come more effective and more efficient methods of identifying and providing access to the items which comprise library collections.

III. Options

A. Commit the Library to be a vigorous leader in implementing actions which will improve the effectiveness and efficiency of cataloging in general. To meet operational goals, continue to develop and apply ways of refining the Library's own cataloging processes and products.

B. Work aggressively within the field of technical processing professionals and organizations (such as ALA and IFLA) to generate interest in a fundamental reexamination of the purposes and practices of cataloging. By taking a prominent role based on its position as the primary source of cataloging within the United States, the Library would exert leadership in the direction and priorities of this effort.

C. Establish within the Library of Congress a National Center for Catalog Resear h (NCCR), as a separate office or part of a library science research and development organization (DOC 82). The NCCR will be concerned not only with the purposes and content of cataloging products but also with the application of the technologies through which these are made available and the intellectual avenues through which end users seek the information contained in the cataloging products. The NCCR would perform several functions. It would (1) in consultation with the library community, develop a research agenda aimed at determining the actual catalog content and presentation needs of end users and catalogers; (2) conduct basic and applied research; (3) encourage the conduct of basic and applied research by individuals, other libraries, and the commercial sector, with particular attention given to topics on its research agenda; (4) serve as a clearinghouse for information about research in progress, completed, or applied; (5) publish the results of its own research and selected research conducted elsewhere; (6) conduct conferences and symposia; and (7) obtain grants from foundations, businesses, and other sources to help support its activities, and dispense some of these funds to support research by others into topics on its agenda.

D. Take a leadership role in obtaining tangible and intangible support from other libraries and interested organizations for establishing and supporting the NCCR outside the Library.

IV. Recommendation

Implement options A, B, and C.

Subject: CIP Program

I. Statement of Issue

Through the Cataloging in Publication (CIP) Program, the Library provides cataloging data to publishers and MARC tape subscribers before a book is published, resulting in timely availability of cataloging for new books acquired by many libraries. CIP is also a method by which the Library acquires current U.S. trade publications (although most of these publications are also acquired through mandatory copyright deposit). While beneficial to libraries and publishers, the CIP Program requires a great expenditure of resources within LC. Do the overall benefits justify the resources required to continue the CIP Program? How can it be changed to make it more effective and efficient?

II. Analysis

The CIP Program was established in 1971 to create cataloging data to be printed in the published book in an effort to provide prepublication bibliographic control to librarians and people in the book trade. Publishers send galleys to the Library where brief cataloging records are created based on the galleys and other data provided by the publishers. This cataloging data is distributed via the MARC Distribution Service and is printed in the published book. When the book is published, the publisher is obligated to send the Library one copy. (This is in addition to the two copies that the copyright law requires be deposited.) The published book is used to update the cataloging that was prepared from the galley, and a full MARC record then supercedes the CIP cataloging record.

The program has been so successful that the Library no longer solicits publishers for inclusion in the program and, in fact, rejects publishers that do not meet established criteria. The CIP Program is highly regarded by librarians as well as publishers. Library staff are often less enthusiastic about the program because of the internal resources it consumes, as it is currently organized and administered.

As an acquisitions tool, CIP garnered material valued at more than $2 million in fiscal 1988. Items that are not added to the collections are used by the Library's exchange programs to acquire other publications.

The CIP Program clearly provides a service to libraries and the publishing industry. It also provides LC with a timely source of current U.S. publications. In order to evaluate whether or not these benefits, both internal and external, justify its continuation, data about the program's costs and benefits are needed. (The last detailed survey on the CIP Program was conducted in the early 1980s.) A secondary question concerns the organization and administration of the program. If it is determined that the CIP Program should be continued, what is the most efficient way to administer it?

III. Options

A. Conduct a comprehensive survey of parties involved in the CIP Program, to address such topics as (1) uses of CIP cataloging, (2) timeliness of CIP cataloging, (3) representation of materials and publishers in the CIP Program, (4) determination of cost of CIP Program, (5) sharing costs of the CIP Program more equitably among participants, (6) determination of stage at which the record (CIP or full cataloging) is most useful to outside libraries and the Library of Congress, (7) sharing the responsibility for CIP cataloging among a consortium of libraries, and (8) a regular review of the CIP Program.

B. Review and restructure, as necessary, the CIP Program based on the results of the CIP survey.

C. Develop and apply more effective approaches for the Library's management of the CIP Program.

D. Examine the validity of assigning priority 1 to all CIP items.

E. Continue the CIP Program with no change.

IV. Recommendatio(s)

Implement Option A; implement options B through D as appropriate based on survey results.

DOC 39

Subject: Operational Aspects of the CIP Program

I. Statement of Issue

Satisfying the needs of the CIP Program for very rapid cataloging of a large amount of U.S. imprints places a heavy drain on resources available for cataloging. The operations of the CIP Program must be effectively designed and carefully managed so that their negative impact on other cataloging activities will be minimized. Reducing the CIP Program's costs to the Library will permit a corresponding increase in resources available for other cataloging activities.

II. Analysis

The operations of the CIP Program are designed to serve the needs of the Library, participating publishers, and those who use CIP cataloging data. Foremost among these needs are accuracy and timeliness. CIP galleys and published books are assigned cataloging priority 1. They are added to the normal workload of descriptive and subject catalogers, displacing lower-priority cataloging work. While this ensures rapid handling of the CIP materials, it reduces the number of lower-priority items that are cataloged. This impact is well known and justified given the benefits of the CIP Program to the nation, but it is often questioned by some users of the Library and its cataloging products.

Varied approaches can be taken to improve the effectiveness and efficiency of the CIP Program. Any of these must be pursued within the framework of CIP needs established through periodic surveys of participants and users. The maximum use of available processing resources should be an enduring goal, whose accomplishment depends on effective, innovative organizational and workflow designs.

Beyond its impact on the composition of the Library's cataloging output, the CIP Program probably is more expensive than it needs to be. Much of the CIP work now done by senior descriptive and subject catalogers could be done by persons in lower grades. The administrative and managerial overhead needed to coordinate the multidivisional workflow probably can be reduced. Consolidating CIP cataloging work within a single division may be appropriate. There are opportunities to involve other libraries in the CIP Program, especially in the CIP cataloging verification (that is, update) process when the published book is received.

III. Options

A. Consistent with the Library's mission, goals, and resources, make timely adjustments to CIP-related organization, procedures, and workflows in response to regular surveys of CIP Program participants and users. Particular attention should be given to maximum turnaround times at the galley and verification stages, cataloging priorities, and the use of catalogers who would work only with CIP materials.

B. Investigate performing the CIP verification process within the CIP Division. This could improve the timeliness of this function and could lower its cost significantly. A fairly small percentage of cases require the attention of a professional cataloger; most could be handled by a senior library technician. Current CIP Division technicians could perform this work, with only a modest increase in staffing.

C. Have the CIP Division create an in-process CIP record in APIF, working from the galleys and any other material supplied by the publisher. This would make a record quickly available for tracking purposes and for the information of users of the Library's online system. It would also save some keying costs compared to the present work done in MARC Editorial, and would yield even greater savings when online cataloging is implemented. Performance of this function would require only a slight increase in CIP Division staffing.

D. Permit participants in NCCP to perform CIP verification in those cases where they receive a published copy before the Library does.

E. Investigate the feasibility of having some CIP cataloging done from galleys sent directly to other libraries. An example might be an NCCP library which would catalog the CIP titles published by that school's university press.

IV. Recommendations(s)

Implement options A through E.

DOC 40

Subject: Cataloging Priorities for Print Materials

I. Statement of Issue

The priority system (see Library of Congress Regulation 411-1), which governs the cataloging of materials for the Library's collections has five levels, based mostly on need, research value, and/or language of publication. Congressional requests, CIP materials, and requests by senior government and Library officials are afforded the highest priority.

The large volume of CIP materials causes unacceptable delays in the cataloging of lower-priority materials; foreign-language materials are afforded insufficient resources, and the public is ill-served by the resulting delays. The ability to base cataloging priority on need apparently is not adequately used. As a result, items containing timely, significant information are given relatively low priorities and take unnecessarily long times to be cataloged and made available for use.

II. Analysis

The assignment of a cataloging priority to each of the thousands of items acquired annually is a difficult task, and almost impossible to accomplish in a manner that will meet the needs of the Library's many user communities. The system of priorities and responsibilities for their assignment are given in LCR 411-1, which assigns immediate responsibility to the Selection Office, with limited exceptions. In almost all cases, the actual assignment of a priority occurs at the time of selection. The Selection Office has a very small staff, so selection of items and assignment of priorities proceeds swiftly, with little opportunity for careful examination of the item in hand. Therefore, many of their decisions are based on only a superficial understanding of the contents of the item.

The thousands of publishers' galleys received for CIP cataloging each month are afforded priority 1. When the published books arrive many months later they are also handled priority 1. This expedited treatment responds to the needs of publishers, libraries, and other interested parties for very rapid cataloging of these items. While it assures the Library's timely performance of a unique and essential service, the heavy volume of CIP work consumes a large part of available cataloging resources. The priority 1 processing given all CIP work thus impairs the Library's ability to process other publications whose content warrants rapid handling. Although the Library of Congress must process all U.S. imprints as quickly as possible, it should give special attention to items whose content is of critical interest to the United States, even though published abroad.

LCR 411-1 speaks of high-, medium-, and low-need material but does not define "need." Need may be defined in many ways and contexts. Absent a clear understanding of what is meant, consistent assignments of cataloging priorities are unlikely. The failure to designate specific topics as being currently of high need and to make need the primary criterion for priority of cataloging means that the present system does not consistently provide rapid processing of items of critical interest. For example, books dealing with matters such as Japanese economic and trade policies, the Soviet Union's glasnost policy, or changes in the earth's atmosphere should be moved quickly through the cataloging process, especially if their content is time-sensitive. When such books are in foreign languages, as most are, they are usually assigned cataloging priorities lower than their content warrants. Thus, information which has immediate value to United States interests and to scholarship in general is unnecessarily delayed. (Though the foregoing was presented in terms of books, the same principles apply to materials in other formats.)

III. Options

A. Make no change from present circumstances. This would perpetuate the conditions described above, to the detriment of the Library and those it serves.

B. Increase the staff of the Selection Office, both to provide broader linguistic competence and to provide more labor to examine the content of materials when assigning cataloging priorities.

C. Establish a mechanism for designating those subject areas which should be designated as being of critical interest to the United States; these would receive timely acquisitions, cataloging, and related processing. Such subject areas would be considered high-need and would receive cataloging priority 1 or 2, except for certain items (for example, juvenile works), even though they would normally be given a lower priority under LCR 411-1.

D. For all foreign publications, assign priority on the basis of content rather than language. Do not give preference to items in English.

E. Insulate CIP publications from the regular cataloging stream as much as possible, so that they do not interfere with other work. (See also DOC 39, "Operational Aspects of the CIP Program.")

F. Processing Services and the Collections Development Office recently took steps to initiate a multi-departmental review of the cataloging priority system. Consider the results of that review when decisions are made concerning the options presented here.

IV. Recommendation

Implement options B through F.

Subject: Timeliness of Materials Processing

I. Statement of Issue

The Library does not emphasize the importance of minimizing the amount of time elapsed (throughput time) between the acquisition of an item and its availability, supported by completed cataloging or other means of identification and access. Attention to throughput times should be responsive to the needs of users for access to items within appropriate periods of time, and to considerations of preservation, security, and other operational factors.

For various reasons, materials processing takes long periods of time, usually stretching over months or years. If the Library does not constantly monitor and strive to minimize throughput times, its clients are not being adequately served and our value of service is compromised.

II. Analysis

To be most useful, an item and its corresponding catalog record must be available to users in the shortest time possible after acquisition occurs. Studies done by Processing Services have revealed that the availability of many catalog records follows acquisition by unacceptably long periods of time. These delays prevent the item from being fully known and readily available to users within the Library. Moreover, the catalog record in such cases is not available on a timely basis to the hundreds of libraries who depend on LC for cataloging copy.

Each book is processed in accordance with an assigned cataloging priority. Processing Services' studies show that the average in-process times are consistent with the priority system, that is, the higher the priority, the faster the item is processed. These studies also show, however, that there can be substantial variation in processing times within a given cataloging priority. Knowledge of throughput times for nonbook materials is virtually nonexistent. (Indeed, it may not be applicable in all cases.)

From a service standpoint, the Library must also consider total throughput times, not just the time required for the cataloging process. Both the time between acquisition and the creation of an in-process record and the time required for physical preparation of the item have to be considered in assessing the Library's performance in providing materials and the means of access to them. It appears that neither of these times have been given continuing attention.

Although rapid processing offers substantial benefits to the Library and to outside users of its cataloging products, there are no standards for throughput times. There is no incentive for managers or other staff members to monitor and react to throughput data.

It should be noted that the complexities of the Library's workflows make determination of throughput times difficult if not impossible for some stages of the process. In many cases where throughput times can be obtained, they may be inexact. These factors notwithstanding, the information that can be obtained is potentially of great value. Even though inexact or incomplete, such information at the very least can reveal orders of magnitude and emphasize operational trends.

III. Options Considered

A. Make no change from present circumstances. This would perpetuate the conditions described above and would not advance any improvements in adhering to the Library's value of service.

B. Adopt throughput time as a principal measure of the Library's success in materials processing. Where appropriate, establish specific target times for types and priorities of materials. Make continuing reductions in throughput times a major goal for the organizational units involved, and make accomplishments in pursuit of this goal an important factor in evaluating the performance of managers, supervisors, and journeymen employees.

C. Regularly collect throughput data and publish it to affected organizations within the Library. Develop and implement systems for monitoring the movement of items through the processing workflow, detecting those which are moving more slowly than desired, and making adjustments to keep conditions within acceptable limits. Establish target ranges for throughput times for each cataloging priority.

D. Establish and adhere to guidelines for the timely processing of non-book materials which are acquired by the Library.

IV. Recommendation

Implement Options B, C, and D.

V. Additional Information

To be most useful, a catalog record or suitable equivalent must be available in the shortest time possible after acquisition of the item it represents, so that users will have timely access to the item itself. Occasional studies done in Processing Services have revealed that the availability of many catalog records lags acquisition by unacceptably long periods of time. These studies indicate that the cataloging priority system works fairly well on average in moving certain items through the cataloging process more rapidly than others. These studies also show, however, that many books take considerably longer than the average time for their priority. These delays prevent the books from being fully known and readily available to users within the Library. Perhaps as important, the catalog record in such cases is not yet available to the hundreds of libraries who depend on LC for cataloging copy. The result for those libraries is that either local resources are expended to perform cataloging or the book is held awaiting the eventual appearance of the LC catalog record. Either result is costly to the library in question and a degradation of service to its users. This does not support the Library's value of service.

Each book is cataloged in accordance with an assigned cataloging priority, which may range from 1 to 5. Throughput studies conducted by Processing Services show that the average in-process times are consistent with the priority system, that is, the higher the priority, the faster the item is processed. These studies also show, however, that there can be substantial variation in processing times within a given cataloging priority. A recent study, for example, revealed that priority 2 books averaged 125 days to move through the cataloging process. The most common (modal) processing time was 147 days, the shortest was 37 days, and the longest was 413 days.

There are a variety of reasons for this wide variation in processing times. Because of the variable complexity of the work to be done on different books, the flow of work from place to place is uneven. Some books are so complicated or difficult to catalog that they are set aside for attention at a later time. (Under the negotiated performance standards, catalogers are accountable for their own productivity and thus are under pressure to finish units of work.) Some books present questions which must be referred between cataloging divisions for resolution. Although some processing times are remarkably fast, there are no clear reasons why books would move significantly faster than the average of their priority group.

Rapid processing offers substantial benefits to the Library and to outside users of its cataloging products, but except for new CIP titles there are no standards or targets for throughput times. There is no incentive for managers or catalogers to monitor and react to throughput data. Indeed, as noted above, the emphasis on productivity tends to increase throughput times for many items.

Most of the above comments relate to books, but the underlying needs for timely availability of the item and a corresponding catalog record or its equivalent apply also to non-book materials. The concept of throughput times apparently has not been employed for these materials. (It may not be applicable in all cases.) There must be greater awareness of the delays encountered in processing materials for access and use. Such awareness can lead to action to correct problem situations, and can help to focus limited resources to gain maximum returns.

In the end, the most valuable result of making throughput times a principal measure of the Library's success will be a continuing examination of the priorities, methods, and workflows used in the Library's processing of materials in all formats. While maintaining appropriate levels of quality, the Library will be giving added attention to its values of service, effectiveness, and innovation.

DOC 42

Subject: Sharing Cataloging Data between COPICS and MUMS

I. Statement of Issue

In the current automation environment, copyright cataloging information to be added to the COPICS data base must be fully keyed even though a catalog record for the same item is already available on MUMS. Likewise, a record must be keyed into MUMS even though the item has been recorded in COPICS. There is no way to copy data directly between these files. The result is an inefficient use of resources and an apparent duplication of effort.

II. Analysis

Copyright deposits of all types (books, serials, sound recordings, motion pictures, and so on) constitute a significant portion of those items which the Library catalogs. These deposits are recorded by the Copyright Cataloging Division in the COPICS data base; when cataloged by other Library units, most are entered into an appropriate data base within the MUMS environment. For various reasons involving the type of material, the number of copies received, and the arrival of a copy from a non-copyright source, a record of an item may appear in COPICS before or after it appears in MUMS. When an item being added to COPICS or MUMS is already recorded on the other data base there is no way to use the existing data; it must be keyed again from the beginning.

There are important differences between the purposes of copyright cataloging and the conventional cataloging done elsewhere in the Library. The conventional cataloging is done to provide identification and access for items in the Library's collections. As a by-product. it is distributed externally for use by libraries throughout the world. For internal and external reasons, it conforms to international cataloging codes and standard formats. Copyright cataloging provides a mandated, timely index to the public legal record of copyright registrations. It contains unique data elements and, to ensure timeliness, is briefer and less exacting than conventional cataloging. It does not conform to external codes or standards. These differences in content and presentation limit the potential benefit of using COPICS data for MUMS records and vice versa. Selective use of common data would provide some economies, however. even if only by saving keystrokes.

III. Options

A. Make no change from the present situation. which, though not optimally efficient, has existed for years without disrupting work done in either COPICS or MUMS.

B. Develop a data-copying capability to permit the on-demand appearance of COPICS information on MUMS, and vice versa. Only those data elements which would be useful would be copied, to be used by the cataloger as the basis for a new catalog record.

(1) Provide this capability as soon as possible, before the automation resystematization design is implemented. The data-copying capability would be unsophisticated, but would provide some savings of labor for COPICS and MUMS catalogers.

(2) Provide this capability as soon as possible, but within the established implementation schedule for the automation resystematization. A more sophisticated copying and presentation of data from one data base to another would be possible. In fact, the resystematization effort might result in a combined COPICS-MUMS data base or another beneficial alternative.

Continuing the present separation of COPICS and MUMS would have no serious ill effects in the interim.

C. Make the COPICS data base accessible for search-only purposes to users working within the MUMS environment. This will permit catalogers, acquisitions staff, and researchers to consult COPICS records easily for a variety of purposes. Although a simple concept, developing this capability would require significant ASO resources. The likely benefit to users would not justify the cost involved.

D. Effect procedural and organizational changes that would have both copyright cataloging and conve tional cataloging of an item done by the same person.

IV. Recommendation(s)

Implement option B.2.

Subject: Production of Bibliographies, Guides, and Indexes

I. Statement of Issue

The Library of Congress does not devote adequate resources (staff, time, money, technical and organizational support, marketing support) to the compilation and production of bibliographies[1] that describe its collections. While traditional cataloging at some level is, of course, desirable for all library materials, bibliographies can provide additional ways of organizing material. Such tools also provide valuable access to collections, or parts of our collections, that may never be adequately accessible through traditional bibliographic control methods. They also have the benefit of being widely distributable, so that knowledge of our resources can be extended far beyond the walls of the Library itself.

II. Analysis

The Library currently has vast uncataloged collections. It is unreasonable to expect that these materials will all be brought under item level bibliographic control in the foreseeable future, particularly in the case of non-roman language and non-print materials. An enhanced program of bibliography production would provide an alternative means of access to many of these valuable materials.

Under current policies, reference librarians and subject specialists must often relegate the compilation of bibliographies to the "back burner," with public reference and recommending responsibilities deemed higher priority. This has the effect of forcing them to work on bibliographies in "spare" time, or on their own time, thereby reducing the amount and timeliness of much of this work. With adequate time and support, however, they could create a wide variety of appropriate bibliographies that would describe these collections and make them accessible to researchers. The process of creating these reference and research tools would also serve to increase our staff's knowledge of LC's resources, enabling us to discover and fill gaps in our holdings. Furthermore, by publishing and disseminating such guides to our collections, we would encourage more scholars to use the Library's collections.

If the Library of Congress is to assume a role as an educational force rather than a mere resource, it must be prepared to make a concerted effort to exploit its collections, and to make certain that the materials in its custody are as widely and as fully used as they ought to be, by all its constituencies. Bibliographies are one important way to ensure that this is possible.

III. Options

A. Continue under current policies, letting interested staff spend as much of their own time working on bibliographies as their interest dictates and their workloads permit.

<u>Pro:</u> No additional resources required.

<u>Con:</u> Cannot support an expanded program of bibliographical production. Staff will remain uncompensated for work done on their own time.

B. Detail staff temporarily to work full-time on bibliographies in their areas of expertise.

<u>Pro:</u> Staff will be able to work solely on bibliographic projects for a specified period of

[1]For the purposes of this paper, the term "bibliographies" refers to bibliographies, guides, indexes, and similar finding aids.

time.

Con: Managers may not agree to detail staff to work on projects. Staff may not be able to complete projects within time available.

C. Appoint full-time bibliographers in all appropriate divisions (in Research Services, Law, NLS, etc.) to work solely on the production of bibliographies.

Pro: Dedicated staff to work only on bibliographical projects would work more efficiently.

Con: Bibliographers would be removed from other closely related processes (reference, collection development).

D. Augment reference staff to allow reference librarians more time to work on compiling bibliographies as part of their regular duties, since reference, collection development, and bibliography are highly interrelated. Add to position descriptions for reference librarians and subject specialists, as appropriate, the requirement that they produce bibliographies. Augment technical support staff to do typing, telephone answering, and so forth, so that professional staff can spend their time on more appropriate activities.

Pro: Compilation of bibliographies would be part of comprehensive range of reference librarian/subject specialist duties.

Con: Some staff may still not devote time to compilation of bibliographies.

E. Solicit ideas for appropriate and useful topics from Congress, scholars, librarians, and other interested parties outside of the Library, perhaps associated with the Council of Scholars; establish a program for visiting scholars to come to LC to work on some of these, and/or other projects.

Pro: Comments may reveal important topics that may have been overlooked. LC would get an interested and free source of help in working on its collections.

Con: May be subject to outside pressures that LC is not prepared to meet.

F. Aggressively seek outside funding sources, in coordination with the Development Officer.

IV. Recommendation(s)

Adopt options D through F. Option B can be used as well, when appropriate for specific projects.

Subject: Coordination of Bibliographies

I. Statement of Issue

Currently there is no means of coordinating the work of staff throughout the Library who are creating bibliographies[2] for publication that describe collections held in various parts of the Library. Once a project has begun, staff are pretty much on their own. There is no centralized record-keeping, no effective means of sharing information about ongoing projects around the Library, no agreed-upon criteria for determining which projects are most valuable, and no way to allocate scant resources equitably when there are conflicts.

II. Analysis

In order to have an effective program of bibliography production there must be a single person or designated group with coordinating and policy-setting authority in the Library. This person or group would be responsible for keeping track of bibliographic projects throughout the Library, developing criteria for the selection of topics, establishing policies regarding the publication and distribution of products, and establishing necessary standards. They should act as liaison to the scholarly and library communities, monitoring the demand for bibliographies on particular topics. They should foster and encourage the dissemination of information among interested staff by holding seminars, conducting roundtable discussions, and coordinating other activities designed to increase communication.

III. Options

A. Establish a high-level Bibliography Committee whose charge would be to set policies regarding the publication of bibliographies in the Library. The committee would have representatives from units throughout the Library that produce bibliographies, and should be chaired by someone with a broad overview of the Library's collections and a working knowledge of the reference research process and how the collections are used. Membership on the committee would rotate periodically. The committee would work with other offices responsible for aspects of the production process.

B. Charge one staff member in an appropriate organizational unit with the responsibility for coordinating bibliographic production and for recommending policies to an appropriate management official authorized to implement them.

C. Retain the current decentralized system regarding policies, but establish a clearinghouse that would act to gather and disseminate information about bibliographies that are being worked on around the library.

IV. Recommendation(s)

Adopt option A.

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[2]For the purposes of this paper, the term "bibliographies" refers to bibliographies, guides, indexes, and similar finding aids.

Subject: Standards and Technical Support for Bibliographies

I. Statement of Issue

Those who are engaged in the production of bibliographies[3] lack a centralized source of technical support. There appear to be no agreed-upon standards regarding formats, citation style, or annotations. Similarly, there is no central source to consult for information about microcomputers or appropriate software packages and their use.

II. Analysis

The subject specialists who compile bibliographies are not necessarily technical experts in editorial or publishing matters. Currently at the Library, bibliographies are produced on an ad hoc basis by staff members who are often pursuing an area of particular interest to them. Certainly, subject experts should not also be expected to be publishing experts. There is no central unit responsible for providing the necessary technical advice and support in matters such as searching strategy, bibliographic styles, entry construction, production scheduling, inputting and editing data (if automated tools are being used), and editorial guidelines Active liaison and coordination between compilers and production units such as Publishing or Central Services are also necessary aspects of bibliography production.

Guidelines should be standardized to the extent practical, perhaps with a view toward publishing an in-house style manual for bibliographers. There should be one source that staff could consult on all technical matters relating to the compilation of bibliographies, including planning, development, and creation of products. Staff should be available who are knowledgeable about bibliographic style and formats; software packages that can be used for bibliographic or indexing purposes and how to use them; training opportunities as they relate to indexing, editing, software, and so forth; and the Library's publishing practices.

III. Options

A. Continue with current decentralized, ad hoc system, with the resulting inefficiencies and poor coordination, which would worsen under an expanded program of bibliographic production.

B. Establish a central organizational source where staff could obtain help in technical, editorial, and production matters relating to the compilation and production of bibliographies. This could be, for example, a "Chief Bibliographer," a "Bibliography Office(r)," or the Publishing Office.

IV. Recommendation(s)

Adopt option B.

[3]For the purposes of this paper, the term "bibliographies" refers to bibliographies, guides, indexes, and similar finding aids.

DOC 46

Subject: Automation of Bibliography Production

I. Statement of Issue

The "automation of bibliography production" covers a wide range of possible functions, from the use of word processors as keying devices for data input to the automatic photocomposition of text extracted from a data base. It involves more than just assembling a system of hardware and software. It also requires the existence of administrative functions, such as: end user support for bibliography compilers, departmental support of automation development, and a coordinated relationship between units responsible for compilation, automation, production, and publishing. Most importantly, it depends upon the existence of bibliography production policies which set priorities and standards. Policy, not technology, should drive automation.

The issue is, to what extent should LC automate the production of bibliographies?

II. Analysis

LC can automate bibliographies with a variety of hardware and software tools: microcomputers, mainframes, commercial software packages, custom-built systems, and so on. There is no one system which will automate all the Library's bibliographies, nor should each be automated (or at least not to the same degree). We foresee a possible range of solutions, stretching from micro-based commercial packages to a mainframe system like Genbib (Generalized Bibliographies), from which is picked the appropriate solution for a given bibliography.

Automating bibliographies offers the following advantages, in various degrees: (1) decreases time spent compiling, editing, and formatting the bibliography, as well as making publications more timely; (2) takes advantage of existing machine-readable data, as well as creating searchable data bases as a side-effect of compilation; (3) offers economies of scale if many publications are produced using fewer configurations of automated tools, which can be more fully supported.

However, automation of bibliography production is costly, and not just in terms of expense to ASO. Each proposed system must have a "sponsor," or user. Users devote considerable resources to supplying ASO with requirements, test plans and data, subject area expertise, and so on.

To achieve economies of scale requires a certain standardization of citation and publication formats. The decentralization of the Library, and of divisions within some departments, has encouraged the current variety of bibliography formats. There could be considerable resistance to limiting current freedoms.

III. Options Considered

A. Reduce the currently planned automated support of bibliography production.

Result: ASO stops Genbib development after the Handbook of Latin American Studies release, and does not take on any more bibliography projects.

Pro: Frees ASO resources for other priority work.

Con: Genbib will handle only the Handbook: no automation will be available for those bibliographies whose needs exceed "off-the-shelf" software; ASO won't continue to do work to "smooth out" the use of such software.

B. Fulfill the currently planned automated support of bibliography production.

Result: ASO continues the Genbib project through release 2.0; ASO undertakes other bibliography work as time permits; no improvement in bibliography policy.

Pro: Will provide a generalized automated system for the production of Library bibliographies with special needs (e.g. bibliographic sorting, diacritics).

Con: Current lack of centralized support for Genbib jeopardizes success; unprioritized new bibliography work probably won't be undertaken.

Funding: Current pattern: grants, cooperative projects, appropriated funds, personal time.

C. Increase the automated support of bibliography production.

Result: ASO continues Genbib through release 2.0; ASO gives higher priority to and additional resources for bibliography automation work (such as smoother micro-base : systems); administrative structure put in place to form bibliography policy, priorities, and standards, including designation of Genbib sponsor.

Pro: More and better bibliographies will be produced in the Library; analysis and organization will decrease time it takes to produce a bibliography in the Library; centralized bibliography knowledge will be valuable for SISP.

Con: Centralization may impose some degree of standardization on citation and publication formats.

Funding: Continue current pattern; a few new positions needed for coordination efforts; printing costs could be offset by more aggressive marketing.

IV. Recommendation

Option C, increase the automated support of bibliography production. If C is not possible, A is preferable to B; it is better to cut back on automation development for bibliographies than to continue it without underlying standards and coordination.

Subject: Preservation: Service of Collections

I. Statement of Issue

Each day in its readings rooms, the Library serves many items in various states of deterioration to its readers. Such unrestricted access to items entrusted in its care results in irreparable damage to irreplaceable items.

II. Analysis

Because there is no definitive policy or uniform set of reading room regulations, neither the condition nor the completeness of items delivered to readers from the general collections are consistently inspected by staff before delivery to users and upon their return. Brittle items are often served to readers without restriction; the extraordinary losses that result from these actions can be examined any day of the week on the glass plates of the public service copying machines in the Library's reading rooms. Significant staff resources would be required to develop, implement, and enforce a program to coordinate service and preservation in the reading rooms serving the general collections.

III. Options

A. Inspect and review materials from the general and special collections before delivery to readers, taking into account preservation concerns that are unique to a particular item or collection and enforcing any restrictions on use that might result from these limitations.

B. House materials delivered to readers in a manner that is suitable for service.

C. Create appropriate surrogates for service to users, making extensive use of current and emerging technologies as appropriate.

D. Restrict and oversee use of self-service copying by readers; provide satisfactory alternatives, such as the installation of photoduplication machines that do not damage the materials being copied.

E. Institute a Library-wide education program providing staff with information and guidance on preservation related issues, emphasizing the responsibility of staff members at all levels to preserve the Library's collections.

IV. Recommendation(s)

Implement options A through E.

Subject: Preservation: Collection Environments

I. **Statement of Issue**

With holdings of more than 85 million items, the Library is one of the world's largest and most important repositories of the cultural and intellectual heritage of our civilization. Yet, the Library does not provide a proper physical environment for its collections.

II. **Analysis**

The collections are housed, for the most part, in environments that are not adequate to assure their preservation. Adequate temperature and humidity controls do not exist for a majority of the collections whether stored on Capitol Hill or off site. Dust accumulation is visible throughout the stack and storage areas. Exposure to ultraviolet light from unfiltered fluorescent lights further contributes to the deterioration of the library materials. During building and renovation periods, inadequate precautions have been taken, leading to incidents of water damage and worsening environmental conditions. Many of the Library's rare book enclosures are "protected" by sprinklers rather than by such alternatives as halon--although they contain precious treasures ranging from cuneiform tablets to medieval manuscripts. An accident in any one of these enclosures would certainly result in costly damage and the possible destruction of unique items. Implementation of the options listed below would require a heavy initial investment of resources but could also see significant long-term savings once the condition of the Library's collections is stabilized.

III. **Options**

A. House the Library's collections in suitable environments, with appropriate temperature and humidity controls, lighting, and air circulationing and filtration systems.

B. Protect stacks and other storage areas from water damage.

C. Implement an environmental monitoring program that combines regular sampling of air quality with periodic inspections of spaces where the collections are housed.

D. Eliminate environmental hazards which threaten the collections, starting with those in the various rare book enclosures that house the Library's treasures. Protect these areas with alternative, nonaqueous, fire prevention systems.

IV. **Recommendation**

Implement options A through D.

Subject: Preservation: Disaster Plans

I. Statement of Issue

Despite periodic reminders of the extraordinary dangers faced by libraries from both fire and water--most recently the disastrous fire in Leningrad--the Library of Congress has no formal response plan to safeguard the collections in the event of a major emergency. In addition, authority and responsibility to coordinate and implement such a systemic institutional approach are not clearly established.

II. Analysis

In recent years, the Library has suffered a number of small-scale disasters (ranging from leaky roofs to faulty sprinklers) and has developed a working proficiency in the containment of these small-scale disasters. The Library's know-how in this field is recognized worldwide, with staff members regularly providing their expertise to other institutions forced to cope with environmental disasters. While there are plans for specific emergencies, they have not been integrated into a master plan outlining emergency response procedures covering the multitude of hazards facing our own collections. To be sure, there is a clear recognition by many in the Library that such a plan is long overdue, and, in this connection, it should be noted that important preliminary work has already been completed by the Water Response Group (a Library-wide committee that has met over the course of the last year to define roles and responsibilities). But the fact remains that there is as yet neither an institution-wide disaster plan nor individual divisional and/or departmental plans.

III. Recommendation(s)

It is recommended that the Library immediately undertake to put in place institution-wide as well as departmental disaster plans, clearly delineating responsibility, authority, priorities and resources needed to carry out the program--on all levels--in case of disaster involving the collections. To assist the Library to complete this critical assignment as soon as possible, it is strongly recommended that outside specialists in emergency planning be engaged to help draft emergency preparedness plans.

DOC 50

Subject: Selection for Preservation

I. Statement of Issue

At present, the Library's selection for preservation program functions in an unsystematic fashion for the general collections. While the Library completed pioneering collections preservation survey work in 1984, it has not devoted sufficient resources to undertake systematic preservation surveys of its collections as a whole. There is currently no written short-term preservation plan or long-range strategic plan that outlines general criteria for preservation from an institutional perspective and that articulates a clear, prioritized, and effective program to preserve the extraordinary collections that have been entrusted to the Library's care.

II. Analysis

The Library learned a great deal about the condition of its collections when it carried out a careful statistical study of its general and law collections in 1984. But without adequate resources committed to surveying each of its collections, the Library cannot know the full range of preservation challenges that it faces. To date, the Library has been unable to monitor systematically the condition of its collections and it has not mounted an effort to select items from these collections for preservation based on clear and agreed upon criteria. As things stand, it does not know the extent to which many of the Library's collections are at risk; it does not have sufficient resources to properly treat materials at the time of acquisition, where appropriate initial attention could reduce the need for later more extensive treatment; it does not have adequate resources to apply preservation treatment to items from all Library collections; and it does not have at its disposal a comprehensive data base that will alert preservation and other Library staff, to preservation treatments that have been completed or are in-process for a particular item or group of items. A considerable investment of resources would be required to implement each of the options listed below.

III. Options

A. Consider preservation issues at each point at which readers, library staff, and materials come together.

B. Allocate adequate resources to apply necessary preservation treatment (to include housing) when items and collections are acquired by the Library--though not at the expense of established preservation and cataloging priorities.

C. Allocate sufficient resources to conduct a microfilming program that responds effectively to both user and institutional needs.

D. Establish a register of document surrogates that could include locations for microforms, optical media, photocopies, and reprints.

E. Implement the recommendations outlined in the Report of the Task Force on Preservation Selection, issued by the Library in March 1988 (DOC 51).

IV. Recommendation

Systematically survey the Library's collections, beginning with those "at risk," and implement options A through E.

DOC 51

Subject: Report of the Task Force on Preservation Selection

Report of the Task Force on Preservation Selection

The Library of Congress
March 1988

EXECUTIVE SUMMARY

The Library of Congress is a major research library providing extensive bibliographic and information services (both intellectual and material) to members of Congress, staff of other government agencies, other libraries, and members of the public. In addition, the printed collections of the Library represent an unequalled resource for the study of the book production of this country. The Copyright Law of 1870 requiring the deposit of U.S. publications in the Library of Congress has brought a special responsibility for the preservation of these items. The Library has also collected extensively from all over the world, resulting in multilingual and multicultural collections without parallel. The irreplaceable resource represented by the Library's collections of printed materials can be protected for current and future users *only if* the Library provides adequate security for its collections and develops an integrated approach to select materials for preservation and determine the most appropriate preservation option.

Preservation is a facet of collections development that affects the intellectual and physical state of the collections and the kinds and quality of bibliographic and research services based on it. Therefore, it is the responsiblitiy of the Collections Development Office to establish and implement preservation selection policies and coordinate the planning of preservation initiatives. Preservation decisions must be coordinated among the Preservation Office and those responsible for the materials, including the Collections Management Division, subject and area specialists, recommending officers, and the custodial Departments/Divisions.

In general, preservation of the original format is preferred for the printed collections. With the implementation of the Library's deacidification program, new materials will be deacidified before entering the collections and retrospective materials will be deacidified according to a schedule established by the Preservation Policy Committee. While original format is preferred, the printed collections include many materials whose condition has deteriorated to the point where a preservation decision must be made Valid methods for

identifying deteriorated materials include patron or staff use, systematic inventory, and surveying the collections prior to deacidfication.

Selection of an appropriate preservation option for a particular item should be based on a bibliographic search to establish the relationship of the title to other copies, editions, and formats held at LC and in the collections of other libraries. Factors as varied as internal and nationally coordinated collection development policies, national and international cooperative preservation programs, LC space considerations (especially for serial publications), research value, artifactual value, and the possibilities of new preservation technology must be adequately considered.

Although most preservation decisions are made at the individual title level, the process of selection for preservation can be facilitated and streamlined by the designation of general preservation actions for specific categories of materials. The Library's mass deacidification program is an example of preservation action taken for a very broad category of material—books published on acidic paper. Likewise, for reasons of preservation and access, some materials are more appropriately reformatted or purchased in alternate formats, such as newspapers, ephemera, statistics, and retrospective government and international documents.

In addition to collections security, mass deacidification, and prospective and retrospective reformatting of specific categories of materials, the Library's preservation program should address the needs of unique research resources and materials with intrinsic or artifactual value. When these materials are subjected to unnecessary physical damage or disappear, the collections of the Library of Congress are significantly diminished. Steps must be taken to protect and preserve irreplaceable materials while still making their intellectual contents available and allowing restricted use of the original.

Each published work represented in the collections bears an important relationship to the bibliographic record describing the item, a record that the Library creates and maintains for the benefit of the national and international library community. However, published works represented in the collections are also requested by the Library's many users. In order to provide effective reader and research services, the bibliographic records of the Library of Congress must reflect accurate location information.

The Library of Congress is a partner in national and international efforts to preserve brittle books and should coordinate its preservation efforts with those of other research libraries. The Library's preservation program will be driven, in part, by the scheduling of deacidification of specific subject classes en masse; therefore, the Library should seek to coordinate selection for preservation in advance of DEZ with other libraries and library consortia. This coordination includes the timely distribution of bibliographic records reflecting the Library's preservation decisions.

The Task Force on Preservation Selection recommends that the Collections Development Office be charged with coordinating the implementation of a library-wide preservation selection policy. CDO should work closely with the Preservation Office, the Collections Management Division, custodial Departments/Divisions, Photoduplication Service, and the Loan Division. In addition, the Task Force recommends that the Library take the following actions *in priority order:*

1. Establish an enhanced preservation search and selection process to handle a variety of tasks relating to the preservation of the Library's printed book and serial collections. The need for an integrated preservation selection process is critical in an era when the Library is intensifying its preservation efforts through microfilming and mass deacidification, and actively participating in a coordinated, decentralized national preservation program.

2. Provide additional preservation selection and treatment alternatives for the Library's printed book and serial collections. A greater range of treatment alternatives is needed in order for the Library to address fully the variety of physical, bibliographic, and service challenges posed by deteriorating materials. Additional options will ensure that research materials are given appropriate treatment in the present and remain accessible to meet the needs of scholars in the future.

3. Establish staffed photocopying centers in each of the three buildings. Such centers would permit photocopying by patrons of most materials and provide a photocopying service for fragile or unwieldy materials

4. Improve the bibliographic control mechanisms for preserved materials in order to support the Library's preservation program and contribute in a meaningful way to cooperative preservation efforts.

5. Initiate immediate preservation action when the condition, value, or scarcity of an item warrants such action in response to requests for use of LC collections.

6. Support a thorough program of research and development to assure the longevity of new technology applied to the preservation challenge.

Subject: Unified Overview of Preservation

I. Statement of Issue

In certain respects, the Library's preservation activities are superlative. The Library is a leader in paper preservation, and most observers look to such experiments as the DEZ deacidification process with much hope and expectation. In contrast, far less is done for still photographic preservation or the preservation of machine-readable materials. More could be done to advance the cause of the preservation of motion picture and recorded sound collections. The dispersed nature of preservation activities has tended to interfere with the coordinated presentation of overall needs when resources are sought.

In addition, some collections, notably photographic, are not suitably housed. The building environment (temperature, humidity, fire control systems, and so on) is not always what it should be.

II. Analysis

The planning and oversight of preservation activities does not always take in the entirety of Library collections. The activities that pertain to photography, motion picture film, magnetic recordings (audio, video, data), and optical recordings (a variety of types of disks) tend to operate in independent orbits. One may ask whether Library resources are being applied in a rational and balanced way across all of the institution's collections. No genuine oversight above the division level exists for some preservation-related activities. The separation of the units dealing with optical disk preparation, motion picture copying, still photo preservation, and electronic imaging prevents them from working together on mutually beneficial undertakings in a fully effective way.

In order to improve the state of building/environmental factors in the preservation of collections, it may be useful to enhance the relationships between the Preservation Office and such entities as LERO and the Architect of the Capitol.

III. Options

A. Empower and encourage the Preservation Office to provide overall direction for all preservation activities. Their work with nonprint collections should follow the collegial and cooperative model established in their work with print and paper custodians. Encourage the Collections Development Office to continue to work toward this broad overview.

B. Empower the Preservation Policy Committee to join in this all-encompassing concern. Add members as needed to represent the neglected areas. Ask the committee to draft an overall, long-range plan for preservation. Encourage the committee to continue to use special task forces to address particular questions, as they have effectively done in the past.

IV. Recommendation(s)

Proceed with A and B.

DOC 53

Subject: National Coordination of the Preservation of Commonly Held Items

I. Statement of Issue

It is not always possible to discover if a particular work has already been preserved-by-copying elsewhere in the United States (or the world, for that matter). There is a risk that the Library (or any other institution) will create a new surrogate when it would have been cheaper to purchase an already existing copy elsewhere. Scarce resources are wasted when two institutions microfilm the same book, copy the same theatrical motion picture, and so on. Costs to copy motion pictures and other media items are astronomically high.

Published items (in a broad sense) may exist in more than one library in the United States or elsewhere in the world. Information about books may be found in a number of sources: the National Register of Microform Masters (now retrospective) and the National Union Catalog are two of these. The various sources could be made more compatible than they are now. and more convenient to use. (See the Preservation Policy Committee's March 1988 report on selection for preservation for additional information; the Executive Summary of this report is DOC 51.) Although efforts have been made to establish registries of films and radio and television programs, they are still in their infancy.

II. Analysis

This is an area for Library of Congress leadership. We cannot do all of the work; national cooperation is needed to establish the bodies of accessible shared information.

The coordination and availability of information about print items surrogates could be improved. Still, the state of affairs for books and other printed matter is excellent compared to that for film, broadcasting, and recorded sound collections. Here the building blocks of national and international bibliographic data and networks are not solidly in place. The network of media collections is truly a world network and progress depends upon international cooperation to a significant degree. To the extent that funds for travel may be available, various Library staff members from the Motion Picture, Broadcasting, and Recorded Sound Division participate in national and international forums, including the Film and Television Archives Advisory Committees (FAAC and TAAC, or F/TAAC) sponsored by the National Center for Film and Video Preservation (somewhat associated with the AFI), the Fédération Internationale des Archives du Film (FIAF) and the Fédération Internationale des Archives du Télévision (FIAT), the Film Archives Committee, and the Associated Audio Archives Committee of the Association of Recorded Sound Collections. In the area of preservation. these organizations and their members are less experienced and have less-well-developed administrative apparatus than the "book preservation crowd," and their ability to plan suffers from the lack of thorough bibliographic data. Support for an active Library of Congress posture in media preservation has not been strong, and in consequence the Library has not played a leadership role in this area.

Many library-related professional groups with a concern for preservation tend to focus their interest on books and paper. These include the Research Libraries Group, various forums within the American Library Association, the Association of Research Libraries, the Commission on Preservation and Access in the Council on Library Resources, and, internationally, the International Federation of Library Associations and Institutions (IFLA). While in no way discouraging continued interest in book and paper preservation, the Library's Preservation Office and National Preservation Program should encourage all of these groups to increase their concern for media collections.

III. Options

A. Find ways to continue to improve bibliographic control of preservation and access surrogates. (See also DOC 50.)

B. Focus institutional attention on the special needs in the area of film, broadcasting, and recorded sound. Encourage the Motion Picture, Broadcasting, and Recorded Sound Division to claim a leadership role in the area of media collection preservation. Provide the resources and oversight required to heighten activity in this area.

C. Find ways to persuade members of professional groups with a concern for library preservation to increase their interest in the preservation of media collections.

IV. Recommendations

Implement options A, B, and C to the degree possible.

DOC 54

Subject: Scientific-technical Undertakings

I. Statement of Issue

The providers of scientific-technical support and service--which also contain a significant portion of Library scientific-technical expertise--are dispersed. Section V of this document lists some of these dispersed facilities and providers. This dispersal interferes with the conception and execution of needed experiments in new technology.

New developments in the technology of integrated photographic and electronic systems hold exciting promise for the Library, both in the short and the long term. There is a need for research and development--which this case should be called "implementation" research--in this area. For example, it is easy to picture a project to serve the needs of still photographic collections that would mix the production of film preservation copies with the creation digitized electronic surrogates for reference. Beyond still photography, we can foresee a day when a wide range of items in many formats (including print) can take advantage of analogous systems. The Optical Disk Pilot Project has shown how one might create preservation copies and reference surrogates using a production mix of digitized electronic images and machine-readable data, and in some cases, photographic materials.

Other forms of scientific-technical implementation research, beyond photo-electronic and not limited to preservation research (see DOC 56), are also needed. In addition, one may note that, although framed here as a research and development issue, a similar situation exists for operational projects. If not yet a problem, it may become one in the foreseeable future.

II. Analysis

The MAP Committee identified two aspects to the problem. First, there is the question of "capabilities"--where can work along these lines be done? Second, there is the question of defining and designing the projects --where are initiatives to be made, and how might a decision to proceed be reached?

On the first aspect: what about the dispersal of capabilities? Should the existing dispersed facilities (see Section V) be pulled together into one integrated unit? The MAP committee felt that, given the still experimental nature of work in this area, such integration was premature. In addition, the removal of, say, the electronic image-scanning function from ASO would disconnect it from the close connection to the mainframe computer that it needs.

There were mixed feelings about one subtopic: regardless of whether the larger integration took place or not, should the "media lab" (Recording Laboratory) remain within the Motion Picture, Broadcasting, and Recorded Sound Division or would it be better able to serve the whole Library if it had more independent status? Some felt that Library-wide service was impaired by the lab's present setting, while others argued that since it mostly served one division it may as well stay there. Comments received from the Motion Picture, Broadcasting, and Recorded Sound Division stressed the intimate connection between the production of preservation copying and curatorial and cataloging responsibilities. One of this division's strongest arguments for having their own laboratory has to do with the frequency and detail of their curators' communication with the laboratory regarding the care of materials and the quality of copies.

On the second aspect--conceiving, designing, and executing a project--the MAP Committee noted

the need for an overall, long-range plan for preservation research and for research in general. "Unified Overview of Preservation"
(DOC 52) calls for a master plan for preservation research. If there is a broader research effort in the Library, including library and information science research (see DOC 81), a master plan for research of all kinds is needed. Projects to experiment with photo-image-electronic approaches and other scientific-technical matters will fall within the purview of these master plans.

Once a project is seen as falling within the goals of the master plans for research or preservation research, how is it to be carried out? For the moment, in the absence of an integrated facility, its actual design and execution will be by task force or ad hoc committee. This may suffice for a few experimental projects, but can be an unsatisfactory way to conduct business over the long haul. For example, a task force was set up to plan a project for the Balinese materials in the Margaret Mead collection. But, in the end, there seemed to be no authority that could approve the proposal and authorize its execution. If a unit or units are asked to draft a master plan for Library research, it/they should also be given the authority to proceed with actual work.

III. Options

A. Have the Preservation Office and Preservation Policy Committee draft the master plan for preservation research called for in "Unified Overview of Preservation." Consider finding a way to charge a unit or units with the task of drafting a similar, larger master plan for other forms of research. Vest the units drafting these plans with the authority to approve projects and support their execution, including the ability to organize work that makes coordinated use of separate Library of Congress facilities, including the optical disk/digital image facility in the Automated Systems Office (with optical images and disks); the Motion Picture, Broadcasting, and Recorded Sound Division Laboratory; and the Photoduplication Service.

Pro: Less disruptive of the status quo than Options C and D.

Con: Lines of authority uncertain compared to C and D.

B. While carrying out A, seek a management analyst's assessment of whether the Motion Picture, Broadcasting, and Recorded Sound Division Laboratory best serves the Library in its present setting, should be made more independent, or should be placed within the sphere of the Preservation Office. Look at matters of workflow, command and control, and overall customer base.

C. Create a new, small "experimental projects" unit. Identify pilot projects (from American Memory, Margaret Mead, nitrate still photo preservation) that will benefit from the assistance of this unit. Use this experience to guide the later creation of a larger service unit

Pro: Good way to try something with least administrative changes.

Con: Weak lines of authority; who is to identify worthwhile projects; where is true responsibility for execution? Activity limited to experiments.

D. Establish the full centrally located service unit out of component parts of existing units. Carry out an analysis of workflow and quality-control matters in the Motion Picture, Broadcasting, and Recorded Sound Division to ensure that their communication and control needs are properly addressed by any new structure; make the same communication and control mechanism available to others.

Pro: Cleanest administrative design, clarifies that service is to be offered institution-wide. Offers best way to move from pilot projects to operations.

Con: Disrupts present-day sets of relationships for curatorial and cataloging control of motion picture, broadcasting, and recorded sound collections. Drastic change, unproven structure.

IV. Recommendation(s)

Options A and B, keep an eye on the advisability of C or D in the future

V. Additional Information

The following is a list of scientific-technical facilities and activities

Copying motion picture film, video recordings, and sound recordings in the Motion Picture, Broadcasting, and Recorded Sound Division laboratory, including the nitrate film preservation project carried out jointly by the Library and the American Film Institute (AFI).

Preservation microfilming, with materials preparation by the Preservation Microfilming Office and filming by the Photoduplication Service.

Producing preservation copies of photographs through a contract with an outside firm, overseen by the Prints and Photographs Division.

Experimenting with the production of a variety of optical disks in the Automated Systems Office and the Motion Picture, Broadcasting, and Recorded Sound Division laboratory, often in conjunction with the Preservation Microfilming Office and the Optical Disk Pilot Project.

Testing methods connected with the preservation of optical disks and the data they contain in Automated Systems Office.

Experimenting with the production of new optical-digital media suitable for the preservation of and access to sound recordings by the Motion Picture, Broadcasting, and Recorded Sound Division laboratory.

Left Undone: Investigating how best to preserve machine-readable data, except for the above mentioned optical disk testing. In part, of course, this is because the Library's only program to acquire these items is the relatively tentative work of the Machine-readable Collections Reading Room. But data bases compiled by political pollsters, social scientists, statisticians, and the like will be one of the great "manuscript" collections of last quarter of the twentieth century and the Library should develop policies and techniques to accommodate them.

New developments in preservation and access, especially involving motion and still pictorial materials and sound recordings, require solutions that partake equally of photographic, electronic, and computational capabilities. At present, the various preservation activities listed above (as well as few other miscellaneous examples) need better coordination. Although staff-level communication among individual workers is good, problems arise when decisions about personnel or funding must be made. Lines of authority are often ambiguous, or a unit that needs a service is not the same as the unit that provides it and, as a result, preservation experiments or tasks are left undone.

Note that any suggestion to establish a facility in this area (or for that matter any expansion of existing units) is not a call to invest heavily in equipment to carry out work on the premises, especially not for experimental or pilot projects. Often, and typically not until systems have been well established, work should be contracted out as much as possible to specialty service firms. Thus, a technical facility's role will very often be to work in cooperation with the custodial division as project codesigner and contract manager. Routine operational functions (printing eight-by-tens from duplicate negatives, copying audio from one modern-day reel of tape to another) might be done most efficiently through contracting out. Internal equipment and permanent staff might best be devoted to special activities not available in the private sector (conserving rare books, copying audio from wax cylinders, duplicating shrunken motion picture stock, and so on).

It is worth noting the influence of the revolving fund structure for the Photoduplication Service and the Motion Picture, Broadcasting, and Recorded Sound Division laboratory. The need to recover costs in a setup that suffers from the inefficiencies inherent to government production lines means (1) that prices for routine operations tend to be too high and (2) that it may not be possible to apply time and devotion to time-consuming special preservation projects. The Library should seek to find a way to balance the units' job-related income against subsidies of one sort or another.

DOC 55

Subject: Preservation of Digital Data on Optical Disk

I. Statement of Issue

Optical disks should be exploited as a preservation medium at the Library. Optical disks containing digitized page images offer significant advantages over microfilm in terms of compaction and offer a life expectancy which is approaching that of microfilm. Unlike microfilm, the contents are computer accessible and pages can be viewed or printed on demand at a higher quality than is possible with microfilm reader-printers. Only digital media have the capability to provide perfect information or perfect copies after media degradation takes place. This is done through powerful error detection and correction (EDAC) systems such as those used with digital optical disks. Through electronic monitoring, it is possible to determine the effects of aging on a disk, and, when it approaches the limits of its EDAC system, a faultless copy can still be made.

II. Analysis

The life expectancy of optical disks has previously been a deterrent to their use as a preservation medium. Their life expectancy was estimated to be 10 years. Many current optical disks are significantly better, and offer life expectancies up to 10 times this. The disks used by the Library (glass and gold-platinum) are among the leading disks in terms of stability and probable longevity. SONY is now claiming 100 years lifetime for its disks, and several other vendors have products as good or better in terms of stability and probable life. Hence longevity is no longer a deterrent to archival uses of optical disks.

The initial accelerated aging tests of single-sided media took more than 2000 hours, which was about the same time as the SONY tests, and, like them, were not carried to completion, that is, were not taken to defined end-of-life of the media; they proved very robust disks nonetheless. Current tests involve the currently used double-sided disks, and the Libraryis seeking definitive results in early fiscal 1989. The methodology of life testing is being submitted to the ANSI Standards Committee on Optical Disk, X3B11, as a proposed standard for validating longevity claims.

III. Recommendation

ESTABLISH INITIAL PRODUCTION PRESERVATION PROJECT WITH OPTICAL DISKS. Scan a selected body of print materials, including brittle items which would normally be microfilmed for purposes of preservation, and store their digitized page images on optical disk using our existing system. These disks would then be stored in a computer-room environment as well as regular office environment and tested for degradation once per year using, among other methods, a series of prerecorded test tracks for measurement of error rates.

The objective of creating a preservation set of documents on optical disks is to begin use of optical disks as a preservation medium and to begin practice of the principles of archive management which we have developed. This consists, in brief, of storage in the controlled environment of a computer room, annual testing and logging of test results, and rewriting a perfect copy when the measured error rate increases to 90 percent of the maximum correctable error rate. Experience in preserving information on optical disk will be a valuable guide to other libraries and archives.

DOC 56

Subject: Research Related to Preservation

I. Statement of Issue

The nation looks to the Library of Congress for leadership in the preservation of library materials. The Preservation Office and the National Preservation Program have provided leadership in this area, and major experiments like the DEZ mass deacidification project contribute to the advancement of the field. But more could be done, and what is done could sometimes be carried out in a better way.

The Library has not found the resources to investigate certain questions In the area of photography and film, for example, the institution has not studied such fundamental matters as the physical and chemical properties of photographic materials or followed through with such "applications" issues as--to cite a small example--finding an effective adhesive for labeling film cans kept in cold storage. And, although DEZ mass deacidification will save many books, this project did not proceed in as orderly a way as one would wish.

Certain topics related to preservation research have been investigated apart from the Preservation Office. Aspects of image and audio digitization and the use of optical disks have been study topics for the Automated Systems Office and the Motion Picture, Broadcasting, and Recorded Sound Division laboratory. Since these facilities have capabilities in these areas, it makes sense for such research to be carried out (or contract-managed) there. But particular research topics have not been selected in a way that takes Library-wide priority-setting into account.

II. Analysis

How should topics for preservation research be selected? The best way would be to have a long-range plan for preservation research. Such a plan should be drafted by combining information about the institution's (and nation's) needs--what sorts of problems are faced with actual collections--with knowledge of the status of scientific investigation--what has been done, what can the Library itself carry out, what would a particular investigation cost? Within the institution, the logical interplay would be to have the Preservation Policy Committee provide the "needs assessment" and for the staff of the Preservation Office to provide the scientific insight. Of course, to properly reflect the needs of the whole institution, the makeup of Preservation Policy Committee should be adjusted as suggested in "Unified Overview of Preservation" (DOC 52). The Preservation Office and the Preservation Policy Committee are the logical site for oversight on preservation research conducted away from the Preservation Office proper.

The fact that the Library undertakes the investigation of a question does not mean that all work will be done on the premises. After a research design is drawn up for a given topic, careful study should determine which parts would best be contracted out and which done in-house. And, to absorb one of the lessons of the DEZ project, whenever possible and appropriate the Library should consider forms of private-public partnership for major projects or projects which may develop wholly new techniques.

III. Options

A. Encourage the Preservation Office, the Preservation Policy Committee, and Library staff generally to identify areas in which research might be beneficial. Draft a long-term plan for preservation research. Consider an annual review or discussion of potential research topics. This will be most effective if the Preservation Policy Committee is expanded to included voices for neglected areas (DOC 52).

B. Have the Preservation Office and the Preservation Policy Committee maintain oversight for preservation research conducted outside the Preservation Office.

C. In concert with A, determine whether the resources allocated for preservation research are sufficient. Encourage the Preservation Office, in consultation with the Preservation Policy Committee, to assess whether more resources are needed, and to develop plans for finding them.

IV. Recommendations

Options A, B, and C.

DOC 57

Subject: General Report of the Collections Subcommittee of MAP

The Collections Subcommittee was charged with studying five broad areas relating to the collections of the Library. These were bibliographies, collections development, materials processing, preservation, and security. This report relates to the first four of these; at the Librarian's direction, the study of security issues was expedited and an ad hoc committee was formed to consider the subcommittee's recommendations and take appropriate action [DOC 88].

In considering its reactions to the issues it faces, the Library must give due consideration to the costs of its present and potential activities. Knowledge of costs is fundamental to wise decisions about the effectiveness of Library operations. Because of the nature of Library operations and services, however, cost data must be used only as an aid to determinations of cost-effectiveness, not as a prescriptor of actions to be taken.

Bibliographies

Bibliographies, guides, indexes, and finding aids are tools created and used in libraries for a variety of purposes: to reveal the extent and nature of specific parts of library collections; to aid in research, both in-house and beyond the confines of the library building; for collection development and assessment; and to organize the intellectual content of a library in a variety of ways that are unavailable via traditional cataloging.

The Library of Congress, with its vast collections, compiles many such bibliographies,[4] ranging in extent and formality of presentation from published hardbound books to pamphlets and information sheets. Frequently, the main impetus for creating a bibliography on a given topic is the lack of cataloging, especially in special collections and area studies, or the inability of traditional cataloging to provide the optimal level of access for a particular group of materials.

While it is generally agreed that the compilation and production of bibliographies by Library staff is both appropriate and useful, the level of support and coordination given to these activities is not adequate. Staff who are working with the collections (area specialists, reference librarians, curators of special collections) are the most qualified to compile bibliographies based on the collections with which they work. Indeed it is an integral part of their job. This activity is not emphasized, however, nor are there enough staff (both professional and support) to fulfill all the many aspects of the jobs while still having time to compile bibliographies.

If the Library is to fully utilize its rich resources, more emphasis must be placed on the many ways of revealing their contents, including not only cataloging but also other forms of bibliographical description as exemplified by bibliographies.

Collections Development

Effective collections development requires knowledge of the Library's holdings, of the policies

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[4]For the purposes of this paper, the term "bibliographies" refers to bibliographies, guides, indexes, and similar finding aids.

and procedures that govern acquisitions, of the availability of new and retrospective materials, and, as well, sufficient human and financial resources to design and sustain a vigorous program. The issue statements attempt to analyze the disparate elements of the Library that are charged with parts of the collections development program and offer options for enrichment or change. A central theme is to bring under more central administration all of the parts from recommending to selecting, from knowledge of the collections to implementation of Acquisitions Policy Statements, from funding requirements to accountability for collections development in all areas of the Library. The appropriate functions and scope of the Collections Development Office and its place in the macro-organization must be determined.

Materials Processing

Introduction

The Library is challenged by the need to process its vast collections and make them known. "Materials processing" is a broad term tht encompasses all activities which occur between the receipt of an item and the time it is placed in its ultimate location and becomes available for use. Included are acquisitions routines, cataloging or other forms of description or identification, physical preparation for use, and placement on shelves or in other locations. In most cases, these activities occur serially, within different organizations. In some cases, two or more functions are conducted within one organization, especially in the case of special format materials.

Careful decisions must be made about the effective use of available processing resources to ensure an acceptable balance between operational requirements for coverage, quality, and timeliness. Processing resources can be maximized by using them more effectively and efficiently, by using the bibliographic products of other libraries, and by seeking additional support from Congress and private sources. All of this must be done with careful consideration of the costs and benefits to the Library and its users.

Apportioning Resources

The Library has not been able to provide adequate processing for much of the materials in its collections. This involves materials in most formats and holds true not only for items it has owned for many years, but also for a significant portion of its current receipts. Large arrearages of unprocessed or partially processed materials exist throughout the Library.

Why does this condition exist? There are many contributing factors, but the general answer is that available resources are not adequate to ensure processing of items already here and those which continue to arrive. More precisely, resources are inadequate given current requirements for coverage, quality, and timeliness. Possible improvements in the materials processing situation should be considered in these terms.

Coverage reflects the apportionment of processing resources among the possibilities available. Most resources are devoted to books, while lesser resources are used for other formats. Whether or not the apportionment is proper is a question of effectiveness, which must be resolved by a managerial decision. Within a given apportionment, moreover, further decisions must be made about the specific use of resources. For example, what attention must be given to current versus retrospective materials? To full-level cataloging versus another form of identification? To one group of materials versus another group of the same format? There are no correct answers to these questions, only choices that reflect the many pressures to which the decision-maker is subject. Finally, coverage is also a matter of quantity:

for a given category of materials, how many items should be processed each week, month, or year, realizing that the unprocessed items will enter or remain longer in an arrearage?

Quality is a prime concern and a goal to be pursued, but it is not an absolute. Quality is always measured relative to an appropriate requirement. This requirement may be formal or informal, explicitly stated or generally understood, applying at all times or situational. Quality includes not only the accuracy but also the extent of the information provided by the processing activity. Requirements for cataloging and related activities are provided in international cataloging codes, interorganizational agreements, cataloging rule interpretations, guidelines for special projects and experiments, divisional directives. and the like. These provide necessary consistency of practice and a benchmark for assessing success. They are subject to change when necessary.

Timeliness is another measure of success. Do materials move into and through the materials processing stream within an acceptable period of time? Actually, there is no single acceptable time, because different categories, formats, or collections of material should move at differing speeds. The establishment of acceptable times takes into account not only Library needs but also the needs of the libraries, scholars, and others who need access to the materials and/or information about them.

Given constant resources for materials processing, the balance established among coverage, quality, and timeliness will determine what processing is done. Emphasizing one factor requires adjustments in the emphasis given to one or both of the other factors. This change in emphasis may or may not affect the apportionment of resources; it could be accomplished by adjusting standards or procedures. For example, an increased emphasis on the number of items processed might be met by a change in requirements for quality.

Maximizing Available Resources

In trying to reduce the Library's growing arrearages, there are four approaches: seeking additional resources from public or private sources, reassigning resources from other Library programs, making current processing resources go farther, and sharing resources through cooperative activities with other institutions.

Seeking additional resources offers mixed promises for success. For the foreseeable future, it is unlikely that additional funds will be provided by Congress for materials processing. This is more a function of the national economic situation than a considered decision not to address the Library's needs. An effort to obtain private-sector funding for processing segments of the arrearages can yield important results on case-by-case basis.

Reassigning resources from other Library programs can be done only to a limited extent. The elimination of programs would free some resources, but they might not be appropriate for processing work. With serious staffing shortages in most Library programs, it is unlikely that sufficient resources could be shifted to materials processing activities from other areas. Part-time processing work by, for example, reference staff could continue but would remain a relatively low priority in most cases.

Making current resources go farther must be a continuing high priority for Library management and staff. Attention to methods of assuring desired coverage, quality, and timeliness can provide major improvements, but many difficult issues may have to be raised, considered, and resolved. Possible resolutions must be considered in terms of their internal and external impacts. The Library has made many commitments to assist other libraries and organizations; some have been formal agreements, others result from the long-term performance of a function (for example, cataloging distribution) on which others have come to depend. Although changes which affect these commitments will have to be carefully considered, the Library must ensure that the accomplishment of its mission is not impaired by ineffective use of its resources.

Resource sharing will be necessary to keep up with current receipts and to make significant inroads into existing arrearages. Carefully chosen, effectively designed, and efficiently operated cooperative endeavors offer great potential benefit to the Library and those who use its products. Beyond cooperative projects, the Library should accept and use cataloging data available on bibliographic utilities and from other sources.

Issues to Be Addressed

The issue statements that relate to this report present a number of recommended actions to improve the Library's materials processing activities. Although presented independently, most of these issues are closely interrelated.

Perhaps the most fundamental question about materials processing concerns the extent to which the Library should devote resources to processing activities which primarily benefit other libraries. For example, should all items acquired through the CIP program be afforded the highest cataloging priority, or could selected CIP items of less value to the Library be cataloged at a lower priority? Should the Library concentrate its processing activities on items which are unique to its collections (leaving the cataloging of other items to be done by other libraries), or should resources also be devoted to items that are acquired by many libraries (so that more libraries will derive a direct benefit from our work)?

As noted earlier, quality is a relative measure which involves both the extent of the information provided and the accuracy of the information itself. For the Library's cataloging products, quality is measured in terms of adherence to the Anglo-American Cataloguing Rules, the Library's own interpretations of those rules, the Library of Congress subject headings and classification, and various MARC standards.

Adherence to rules and standards provides consistency and predictibility and is the basis of current and planned cooperative projects which will allow the Library to make use of cataloging done elsewhere; however, the emphasis on quality which makes Library of Congress cataloging so highly valued by other libraries may also be an impediment, not only in allowing the Library to use other libraries' cataloging, but also in making it difficult for other libraries to contribute records at a national level. This emphasis also makes it very costly to do our own original cataloging and is of increasing concern in view of the Library's fiscal constraints. Even though the Library has invested massive resources in its processing operations it is unable to keep pace with current receipts or even begin to process its very large retrospective arrearages.

While we must use care to ensure that short-term gains in cataloging coverage do not reduce the usefulness of the data base, the Library must, in cooperation with other libraries, re-examine its own standards for quality to see if there are areas in which consistency is unnecessary or requirements are too exacting. In addition, the Library should take a vigorous leadership role in a fundamental re-examination of cataloging practices in general, with special attention given to the needs of end users and the technologies through which they are served. This could lead to major, beneficial changes in cataloging practices worldwide.

A second impediment to the free flow of cataloging information is the difficulty in transferring catalog records between the Library, OCLC, RLIN, NLM, and other cataloging data bases. The Library should place high priority on the completion of the Linked Systems Project (LSP). This linking capability is basic to future cooperative and collaborative efforts. Once LSP is in place, our catalogers will be able to search other data bases for completed catalog records and transfer them into the Library's files. LSP would also make it possible for the Library to utilize foreign MARC records from the OCLC data base.

Finally, the Library should also continue its efforts to investigate and modify its internal cataloging workflows. This involves investigation of such possibilities as whole-book cataloging and making more use of less-than-full cataloging.

Preservation

The obligation to preserve the collections entrusted to its care is a central component of the mission of the Library of Congress. Yet the Library does not have a long-term strategic plan that outlines preservation priorities from an institutional perspective; it does not provide a proper physical environment for its collections; and it does not have a formal plan to safeguard them in the event of an emergency. On a day-to-day basis, the Library does not have in place a comprehensive selection for preservation program nor does it apply consistent preservation guidelines when it affords users access to materials from the collections. To meet these critical needs, we have recommended steps to improve the environments in which our collections are housed; the formulation of an institution-wide emergency response plan; the development of a systematic and comprehensive selection for preservation program; procedures designed to help preserve the collections; and an initial production preservation project using optical disks to preserve printed material in digital form.

Subject: Improve and Deepen the Direct Scholarly Use of the Library

I. Statement of Issue

The use of the Library by the scholarly community does not match the Library's vision of service. The Library attracts many to its reading rooms who could better do their work elsewhere (and who should be directed to these alternative sources) and attracts relatively few who need the Library most.

II. Analysis

The Library has no program in place to attract a large stream of scholars to its reading rooms, although attracting such a user community is now a top priority of management. This is, in part, because the Library does not provide adequate service to those for whom the Library is the best (often the only place) to conduct their research. Rather, the resources of the Library are dissipated in provision of service to many, like most undergraduate students, who would not only be as well served, but better served, in another institution.

Specifically, the Library has not been as successful in attracting scholars to its services as it would wish for several of the following reasons.

The scholarly community's understanding of the Library's resources and services is varied and generally weak, depending on the individual experience of a researcher in using the Library. Neither within the Library nor at scholarly conferences does LC provide substantial information on what the Library offers and how best to use it.

The Library confuses researchers with its laissez faire approach to reader orientation, complex array of collections and services, and labyrinthine buildings.

The Library attracts too many people to its reading rooms who could better conduct their research elsewhere. In consequence, LC resources go heavily to providing a college or a public library service. The resource that remains for collection maintenance, book delivery, and reader assistance is not sufficient to support the level of service appropriate to the world's premier research library. Serving the patron who would be better served by a public or college library pointlessly increases the workload of Library staff, causes needless injury to the collections, and, indeed, punishes all LC patrons directly through higher off-the-shelf rates.

Research support, like some cataloging practices (for example, limited subject indexing, large arrearages), online searching capabilities, book service (for example, not-on-shelf rate), and copy services are not at a level appropriate to a research library of world-wide reputation.

Excessive demands on staff and shortage of funds limit the production of LC bibliographies and retard the scholarly development of staff and their participation in scholarly meetings and conferences.

As a result of the above, the Library is under-used by those who most need the Library, including advanced researchers and scholars.

III. Options

To expand use of the Library collections, facilities and research services by those for whom they are the best tool, the Library should:

A. Assess the requirements of each category of user and the services the Library provides to support each. Subsequently, establish a policy which promotes the use of the Library by those who truly require it.

B. Educate and encourage researchers (for example, most undergraduates) who are better served by other institutions to use those other institutions for their research.

C. Develop an outreach program to educate the potential appropriate users of the Library of the resources and services available; the program should include encouragement of scholarly LC staff to publish books, bibliographies and articles relating to the Library collections and, supported by LC funds, attend scholarly meetings to present papers and to provide information on the Library through talks, seminars, displays, and informal conversation. The Library should also provide LC news to professional and learned journals, and extend invitations to scholarly groups meeting in Washington to visit the Library, or even meet at the Library.

D. Establish joint ventures with scholarship programs like the Fulbright to encourage researchers supported by the programs to conduct some of their work at the Library. Expand the divisional academic intern program.

E. Expand the Council of Scholars and through it establish programs, like a rotating scholar-in-residence, that provide advanced researchers experience with LC services and collections, thus promoting appropriate LC use.

F. Improve support services:

(1) Establish a bookstore offering on-demand reproduction (including digital reproduction) of books and other LC materials, and a selection of scholarly book, journal, and software titles. All the Library collection items in the public domain would be immediate candidates for copying and others would be available, with permission of copyright holders. the Library may wish to consider in this connection, as well as in optical disk matters, requesting a change in copyright law that would speed and ease copying where communication with copyright owners was difficult or impossible. Mandatory licensing is one possibility.

(2) Assist scholars in finding affordable housing for their tenure at the Library (this has broad implications for other Library programs--helping with housing would assist intern and other recruitment efforts).

(3) Ask Arthur Young consultants to identify the means for speeding, improving, and rendering less hazardous to the Library collections the various LC copy services. There are numerous instances of patrons who find their copying needs incapable of being fulfilled by existing Library copy facilities. Readers' publishing or broadcasting deadlines cannot be met and they must turn to other libraries for materials, or. when possible, secure an LC item on interlibrary loan and use a private copy service. Unscrupulous researchers employ other techniques, like theft and mutilation, to serve their unmet needs.

(4) Create a state of the art, friendly, powerful, and "intelligent" online catalog and service. Enrich new catalog records with "free text" subject terms, for example, from tables of contents and other readily available sources.

(5) Consider expanding the number of specialists available for reference service and economize on their time by consolidating some area and other specialized reading rooms. Examples are the Library's Kennedy Center Performing Arts Library (which could be merged with the Performing Arts Reading Room) and area studies units in Research Services and Law. Have subject specialists available on call or by appointment. This would permit more extensive assistance to patrons, both in person and through bibliographical and collection development work, in the time freed from less productive reference desk work.

(6) Make available throughout the Library's various Capitol Hill buildings and reading rooms delivery of bound and unbound periodicals and certain other high use, nonproblematic materials (for example, the music books). The Book Paging System and the Fetch command would facilitate this change in policy.

(7) Provide appropriate bibliographic access to all the Library's collections.

G. Establish a centralized, computer-based registration system and orientation facility with staff to register patrons and help them develop work plans. Use this mechanism either to:

(1) Create and phase in (explaining to and securing support from Congress) a policy that those better served by other libraries must use those facilities.

<u>Pro:</u> Provides the Library with the maximum savings derivable from serving only those who are truly in need of its collections and services. The resulting reallocation of precious reader service resources would enable researchers to make more effective use of the Library. The change in reader admittance policy would cause researchers to learn about other, better places to do their work, particularly specialized libraries where the service for patrons with certain needs (for example, undergraduates) would far excel what the Library could provide. The change in policy would give other libraries a greater chance to demonstrate to important potential clients what fine service they can provide.

<u>Con:</u> Would generate ill will and possibly congressional denial of permission to proceed, or if approved, intervention, after constituent complaints had arisen, causing the Library to revert to open reading rooms. This could follow if those turned away despite their belief that the Library was the best place (or at least an appropriate place) for them to do their work and which they had taken the trouble to visit plead their case effectively with members of Congress. This is an especially sensitive issue with respect to tourists. Such a policy has the appearance of violating the American principle of maximum openness in its public services.

(2) Strongly advise those better served by other libraries to use those other facilities but leave the final decision to the patron.

<u>Pro:</u> Would lower the number of readers using the Library who would be better served elsewhere but not raise to the same level opposition to the policy (and the Library) that mandatory exclusion would generate

<u>Con:</u> Would not reduce to the same degree the flow of readers better served elsewhere; it might indeed have minimal effect.

(3) Create a new facility near the Library's main traffic flow that would provide an abbreviated reference service (for example, online catalog searching and searching for facts in a small collection of reference books). The service would be for those not admitted to the Library's other

reading rooms, that is, those whose research needs do not justify full use of the Library facilities, but who feel rightful pride in the institution and wish to experience some direct return on their tax investment in the Library.

Pro: This would avert criticism of the kind described above and would do so in the way least costly and damaging to the Library's services and collections; it would also satisfy the needs of many patrons, especially tourists.

Con: Some drain on the Library to furnish and staff the center and not all patrons sent there would be satisfied with the level of service available.

IV. Recommendation(s)

Implement A through F. The majority of the MAP Committee favors Option G-3, as well.

DOC 59

Subject: Vernacular Access to Non-roman Script Items

I. Statement of Issue

More than 40,000 non-roman script titles are cataloged by the Library in any given year. Yet one cannot display, search, or sort bibliographic data for these non-roman script items in the vernacular--though the technology to enable these capabilities has already been developed and implemented (most notably for the Research Library Information Network).

II. Analysis

If LC were to develop a single on-line catalog capable of displaying and indexing roman and non-roman records,

(1) Researchers could identify items regardless of script held by LC.

(2) With an integrated system, bibliographic control over cataloged items and collections in all languages will be accessible to researchers using one data base and one search language.

(3) With vernacular access, scholars will be able to identify and use materials that they might have been unable to locate because of the obstacles presented by the various romanization schemes through which non-roman materials are currently represented.

(4) Bibliographic projects would be enhanced if the use of non-roman script material could be manipulated and downloaded from the system.

III. Options

A. Utilize existing bibliographic networks to afford access to each non-roman alphabet, requiring researchers to search multiple files for a given subject. To maintain a record of LC holdings regardless of script, the Library would load the romanized portions of vernacular non-roman records into a strictly roman script online catalog.

B. Create a single, integrated online catalog capable of displaying and indexing both roman and non-roman data.

IV. Recommendation

With resystematization of LC's online catalog on the horizon, option B-- the creation of an integrated multiscript data base that is capable of displaying, indexing, and sorting roman and non-roman bibliographic data--should be implemented; anything less would short-sighted, placing artificial and unnecessary constraints on the development and utilization of LC's collections and online catalog.

Subject: Integration of Functions in Custodial Divisions

I. Statement of Issue

In the main, the Library of Congress is organized along functional lines, with the cataloging and reference functions residing in separate departments. While such a system works reasonably well for English- and European-language materials, it may not be the most effective way to deliver service to scholars and researchers using the lesser known language collections housed in the Asian Division and African and Middle Eastern Division. For these collections, a model based on the area studies collections found in some university libraries--with staff of these units using their special expertise to perform a variety of library functions, including recommending, cataloging, and reference--might be a more appropriate model. A secondary consideration would be the opportunities such an integrated model would provide to staff for personal growth and development.

II. Analysis

Integrating the cataloging and reference functions for selected custodial divisions would bring together in one place staff expertise in language and/or subject to provide better service. Even under minimum bibliographic control, materials in the arrearages would be more accessible to researchers once they are housed in the custodial divisions. Sections could tailor their cataloging and work-flow priorities to be more responsive to users' needs than the current system. Cataloging completed in the sections could be reviewed by Processing Services for quality and consistency. Recommending responsibilities for the area could be divided among each unit's professional staff as a whole. It should be noted, however, that without a strong commitment to cataloging by the heads of these functionally integrated units, decentralization of the cataloging function could result in lower priorities for cataloging with fewer items being cataloged and might entail a reduced adherence to standards with a consequent degradation of the data base.

III. Recommendation(s)

In conjunction with the Collections Development Office, Processing Services, and Research Services, conduct up to three pilot projects to test the effectiveness of the functionally integrated model in different collection environments including an area studies division, a special format collection, and in a discrete subject area collection. The pilot project would include critical success factors and a management plan for evaluating it.

DOC 61

Subject: Library-wide Tracking System for Congressional Requests

I. Statement of Issue

Although most of the work done for Congress is accomplished by the congressional Research Service, much work is also done outside of CRS. Each department of the Library devotes some staff time and expertise to congressional requests and collects data about resources devoted to this service Only CRS currently has in place an automated system for tracking these requests and producing management reports. Useful management statistics from other parts of the Library are either lost, isolated, or inconsistent, and are not easily combined with CRS' statistics.

II. Analysis

The Legislative Liaison Office coordinates much of the Library's work for Congress; its statistics show that in fiscal 1988 over 19,004 requests were handled by non-CRS units in the Library. CRS currently uses an electronic system, called the Inquiry Status and Information System (ISIS) to track nearly 500,000 congressional requests per year and to produce a variety of management information reports. A single inquiry tracking system and data collection mechanism for all congressional requests in the Library would provide better tracking of the requests and the ability to produce management reports in a variety of forms, including time spent on requests and statistics by state, congressional district, and subject.

III. Options

A. Expand ISIS to include the extensive service to Congress from other parts of the Library. Organizationally, the Legislative Liaison Office, or some other area outside of CRS, should serve as a central clearinghouse for congressional requests which are not handled by CRS. The CRS portion of ISIS would be linked with the portion managed by the Legislative Liaison Office and used by the other areas of the Library which serve Congress directly or indirectly. Requests would be entered into the system by the part of the Library receiving the request and routed to the appropriate part of the Library for completion. Resources required to implement this recommendation include money and staff time for the Automated Systems Office in order to enhance ISIS and more staff for the Legislative Liaison Office to handle the expanded coordinating effort.

B. Same as A but with CRS coordinating and routing all requests. Would require more training and/or staff for the CRS Inquiry Section, but no additional staff for the Legislative Liaison Office. In addition, requests would continue to come into other parts of the Library without going through CRS, so a mechanism would have to be in place for entering the data directly by these areas.

C. Use the central public inquiry system, either ISIS or another system, for congressional requests handled by other parts of the Library. CRS would continue to use ISIS. This option could lead to incompatible systems if CRS uses ISIS and the rest of the Library uses another system. It is possible that useful management data on congressional requests could not be transferred if this option were chosen.

D. Use the same system for both congressional and non-congressional requests by both CRS and the rest of the Library. This would ensure that data could be extracted from both systems for statistical purposes. To maintain the security of congressional requests, the data should remain in separate files or nodes of the system and accessible only to CRS and/or the units which handle the requests. This option would dictate either that ISIS be the system for all inquiries in the Library and CRS, or that CRS adopt the system developed for the Library.

IV. Recommendation(s)

As a general principle, follow option D. If ISIS is the system to be used, implement option A.

DOC 62

Subject: Congressional Awareness of LC Services

I. Statement of Issue

Some Members of Congress and their staff still equate the Congressional Research Service with the Library of Congress as a whole, although many services to Members and to their constituents originate in other departments of the Library. Many Members and their staffs are not aware of the many services offered to them and their constituents by the Library.

II. Analysis

A greater understanding of the services and activities of the Library as a whole will help congressional offices obtain services more effectively from the Library as well as interpret the Library's services to their constituents.

III. Options

A. Broadcast programs on the congressional cable system that deal with foreign areas, folklife, the Library itself, or other cultural matters of general interest. CRS now offers television programs on public policy issues. An expanded program effort would open up other areas of the Library to congressional viewers. Programs would fall into two categories: videorecordings of modest technical accomplishment and more elaborate programs. The first category would include non-labor-intensive videorecordings of public events, programs, lectures, and conferences held at the Library, and simple recordings made on topics presented by staff in various areas of the Library. The second category would include more complex, and therefore more expensive, programs developed for other purposes within the Library or for public consumption and shown on congressional cable as a by-product. For the production of Library television programs, funding could be acquired from appropriated funds (for simple videorecordings) or through grants (for more elaborate productions).

B. Create annual "Library of Congress and Your State" reports for distribution to the 535 congressional offices. The 50 reports would enumerate non-CRS services to each state--for example, research and reference responses provided to Members of state delegations, their state libraries, and constituents; activities of the American Folklife Center in their state; the number of constituents served by the National Library Service for the Blind and Physically Handicapped and the numbers of books in braille and talking books distributed; the number of copyright registrations from their state; the number of subscribers to Cataloging Distribution Service programs; radio stations providing Coolidge concerts; a printout of books with the state as a subject heading cataloged at the Library of Congress during the year; the number of Law Library reports sent to their offices and to libraries in their states, and so forth. Much of this information is not currently available and will require additional staff to gather.

IV. Recommendation(s)

Implement options A and B as staff time and funding allow.

DOC 63

Subject: Public Policy Scholars in Residence

I. Statement of Issue

While intern programs have proven useful to the Library and CRS, many visiting scholar programs have not taken advantage of the knowledge, skills, and talents that the visitor has to offer.

II. Analysis

CRS has benefited from occasional visiting scholars and intern programs. These temporary analysts provide fresh approaches to congressional issues and also help alleviate the ever-increasing workload on permanent staff. Additional assistance is especially important when there are gaps in the subject areas covered by CRS or when an issue becomes of great concern to Congress. The aim of a Public Policy Scholar in Residence program should be to have the visitor make a contribution to the work produced by CRS.

III. Options

A. Establish a position of Public Policy Scholar in Residence. Organizationally, the program would be a part of a Library-wide Scholars in Residence program, associated with the Council of Scholars, with the Public Policy Scholar located within CRS. In addition to conducting his or her own research, the visitor would contribute to activities in support of CRS' service to Congress, including the preparation of reports within the guidelines of CRS and participation in Public Policy Institutes, lectures, seminars, and programs for congressional Members and staff. Funds to support the Public Policy Scholar in Residence program would be obtained from outside foundation support or gift money.

B. Same as A, but with the Public Policy Scholar in Residence located within CRS and independent from any Scholars in Residence program developed for the rest of the Library.

IV. Recommendation(s)

If a Scholars in Residence program is developed for the Library, implement option A. If no Library-wide program is established, implement option B within CRS.

Subject: Foreign Literature Translation and Analysis for Congress

I. Statement of Issue

CRS needs more analysts who can scan the world literature in a timely manner and thus develop a world perspective on public policy issues and provide enhanced analyses of domestic activity within foreign countries. CRS and Congress need better access to translations of world literature.

II. Analysis

Analysis of activities and attitudes of other areas of the world is crucial to Members of Congress in an ever-shrinking globe. The CRS Language Services Section processes requests for translations in ten languages and conducts some research, but produces few analyses. Most of the analysis work done in CRS is based on English language sources.

III. Options

The options and recommendations for enhancement of the foreign-language service to Congress are closely linked to the creation of a National Center for Research and Analysis. Details on the proposed services and organization of the Center are included in a separate MAP issue statement.

A. Create a foreign language bibliographic citation file accessible to CRS and congressional staff members. Add new bibliographer positions requiring foreign language capabilities to the Library Services Division of CRS. Purchase subscriptions to major foreign journals and newspapers. Make use of the proposed National Center for Research and Analysis for anticipatory translations on topics considered of interest to Congress and for special translations requested for items in the foreign language bibliographic citation file.

B. Create a foreign language bibliographic citation file using resources and subscriptions from the proposed National Center for Research and Analysis. Staff members in that organizational area would also produce the anticipatory and specially requested translations for Congress.

C. Transfer the CRS Language Services Unit to the proposed National Center for Research and Analysis. Currently staff members from all parts of the Library are called upon to provide translations services for languages not covered in CRS. Moving the Language Services Unit into an area which would centralize all translations would result in better efficiency and coordination of all translation efforts carried out by the Library.

IV. Recommendation(s)

Implement options B and C.

Subject: Consolidation of Library of Congress Translation Functions

I. Statement of Issue

The Library of Congress's foreign-language translation capabilities are scattered throughout various departments and there is no central coordination. Centralization of translation services in the proposed National Center for Research and Analysis (NCRA) and amalgamating the center with the National Translations Center (NTC), should it be incorporated into the Library of Congress as suggested in another MAP Committee proposal [DOC 66], would better position the Library to serve both Congress, other government branches and agencies, and private-sector organizations. (See also "Broadened Research Service for a Fee" [DOC 74] for a fuller description of the NCRA and the benefits to the Library.)

II. Analysis

The Library of Congress has two organizations dedicated to foreign language translations: the Language Services Section of the Congressional Research Service (CRS) and the Federal Research Division (FRD). Both organizations perform their translation tasks on a strictly confidential basis to protect the interests of their clientele. The Library also provides Congress with translations of short articles and letters prepared on an ad hoc basis throughout its departments.

CRS's Language Services Section processes requests for translations in ten languages on request from Congress and the divisions of CRS and on a courtesy basis for other Library departments, workload permitting. Translations that cannot be accomplished in-house by CRS, about 10 percent of total requests, are contracted out to freelance translators or are delegated as additional duties to various area studies divisions and foreign-language processing sections on an ad hoc basis. The services provided by CRS are part of the CRS budget while those provided on an ad hoc basis by non-CRS units are absorbed by the budgets of the departments to which those units belong. Language specialists in CRS are in the professional translator (1040) series. They do complete translations and some research, but few analyses.

Through FRD the Library offers comprehensive anticipatory and on-request translation services in 25 major languages to U.S. Government agencies on a transfer-of-funds basis. While the Library receives adequate compensation for such translations, the sources of funding are subject to budgetary fluctuations within the supporting agencies, sometimes leading to periodic reductions in force and loss to FRD of hard-to-recruit language specialists. Language specialists in FRD are in research analyst (0132) and technical information specialist (1410) series. Most foreign-language work is in the form of abstracts and relatively few complete translations are done. Emphasis is on research and analysis in foreign-language materials.

The Supreme Court, which could be adequately and confidentially served by the Library, contracts out its translations. Special legal expertise is needed, however, to translate for the Supreme Court. The Library would have to specially recruit staff to perform such translations since legal translators are not available in CRS, FRD, or the Law Library. (See also a separate MAP recommendation on providing translations to the Supreme Court [DOC 68].)

Current translation capabilities are duplicative in some cases, not adequately used in other cases, and are misused in still other cases. In the first instance, for example, there are German, Spanish, and French translators in both CRS and FRD. While CRS staff are professional translators and FRD staff are foreign area specialists using language as a research tool, the language-support load might be shared. In the second instance, a Russian-language translation for Congress might be contracted out by CRS even though FRD has Russian linguists who could do the job but are not available since they are supported by executive branch funds and are inhibited by Library practice from providing service to Congress. FRD might have to turn away an executive branch agency request for Korean language work, for example, because such expertise is not currently available on the FRD staff even though there are qualifie Korean linguists elsewhere in the Library. In the third instance, translations of short articles and letters for Congress are sometimes assigned to staff who are knowledgeable of a particular foreign language but are not professional translators or are not in positions requiring translation as one of their duties. Although they fulfill such requests, the time spent on translation is taken away from time that might have been spent processing or serving the foreign-language collections or performing other essential tasks. In some cases, staff have prepared translations on their own time rather than be faced with reduced production quotas in their regular jobs.

- Finally, the Library has the largest collection in the world of foreign-language research materials as well as access to an unparalleled number of translations prepared either within the Library or externally. There is a need to gain bibliographic control over both the foreign-language and translated sources. For over a decade CRS has maintained an English-language bibliographic citation file but because of inadequate staff and appropriate expertise, foreign-language sources are omitted and a wealth of insights and information available only in foreign languages are not being fully exploited.

III. Options

To provide comprehensive translation services to the Congress and the nation:

A. Consolidate the foreign-language capabilities of CRS and FRD in an expanded National Translations Center (NTC) which shall have been assigned administratively to be part of the proposed National Center for Research and Analysis (NCRA). Provide appropriated funds to support all language services provided on a first-priority, interactive basis to Congress and CRS. Provide mechanisms for the Library to receive monies for language services performed for fee-paying clients, including the Supreme Court. Furnish sufficient appropriated funds for external contracts to provide translations not readily handled in the Library and establish cooperative arrangements with other Library divisions to provide ad hoc translation support on a cost-recovery basis for those languages not immediately available through the NTC/NCRA.

B. Develop an online foreign-language bibliographic citation file. The file would be available on SCORPIO to all LOCIS users and full translations would be provided on request to Congress (on an appropriated-fund-supported basis) and to external clients (on a fee-for-service basis). While in the long-term the file would be maintained by the staff of the NTC and contributed to by other NCRA staff members (and other Library staff, as appropriate), its development could begin immediately as a cooperative effort between CRS and FRD.

C. Develop a system for tracking and gaining bibliographic control over internal Library translations and translations available either in the Library's collections, from other institutions' collections, and commercially. When translations requested are found not to be available through this system, translation services as described in option A should be offered to fulfill requests. These functions, along with the consolidated and expanded language services functions described in options A and B, would be assigned to the NTC. Implementation of this option could be started during the first year after the reestablishment of the NTC in the Library.

IV. Recommendation(s)

Implement A through C.

Subject: Transfer of the National Translations Center to the Library

I. Statement of Issue

The University of Chicago has announced the December 31, 1988, closing of the National Translations Center (NTC). The transfer of the collections and functions of the NTC to the Library of Congress could be accomplished immediately if sufficient funds are available within the fiscal 1989 appropriation.

II. Analysis

The "Trip Report: Visit to the National Translations Center, October 19, 1988" (DOC 67) provides background on the collections and functions of the NTC which is scheduled for closure on December 31, 1988. Government agencies and private sector organizations that contribute translations to the NTC have been notified of the closing and have been asked to hold submission of new contributions until a successor parent organization is identified. The report writers believe that the collections of the NTC are of national importance and would be most appropriately placed in the Library of Congress. They recommend that the Library take over the NTC, restart its functions immediately by accepting translations from standard contributors, move the existing collection incrementally from Chicago, house the active collection (1982-present) in the Adams Building and have it served by staff detailed from the Science, and Technology Division and other divisions as necessary, and house the less active collection (1953-1981 plus unprocessed backlog) in the Navy Yard Annex served by Federal Research Division staff. The report writers believe that the NTC could resume most of its functions and begin cost-recovery operations by March 1, 1989. Details on a transition team; arrangements with Photodup (or an alternative copying service assuring five-day turnaround), the British Library, and the International Translations Center; and future administrative placement (possibly in the proposed National Center for Research and Analysis) also are addressed in the report.

III. Recommendation(s)

That the Librarian immediately notify the University of Chicago that the Library of Congress will accept the gift of the National Translations Center. Appoint a transition team to implement the specific recommendations in the enclosed report. Arrange with FLICC to negotiate for at least initial, if not long-range, financial support from among its members (many of whom are major contributors to the NTC).

DOC 67

Subject: Trip Report on the Transfer of the NTC

INTRODUCTION

On October 19, 1988 a team of four representatives of the Library of Congress visited the National Translations Center (NTC), University of Chicago, to assess prospects of moving the NTC to the Library of Congress when the NTC operations cease at the University of Chicago December 31, 1988. The team consisted of Kari Green (SciTech), Robert Worden (FRD), Deanna Hammond (CRS) (President Elect, American Translators Association), and Lee Power (FLICC)

In the morning, the team met with Patricia Swanson, Assistant Director for Science Libraries, and Ildiko Nowak, Head, National Translations Center Ms Nowak gave a briefing and demonstration of the processing of deposited translations During the briefing, we were shown the card catalog, the data input operations, and the file cabinets and boxes of backlog translations We also discussed the International Translations Center agreement, how translations were selected for processing, bulk deposits (e g , thousands of NOAA translations in boxes), and marketing

We had lunch with Martin Runkle Director of University Libraries, and Charles Payne, Deputy Director for Systems, where we discussed the reasons the university decided to cease support of the NTC

In the afternoon, Mr Power visited with the library data processing staff to discuss the automation systems related to the NTC Kari Green and Robert Worden toured the "stacks" observing space requirements and condition of the collection Deanna Hammond discussed background and policy issues with Ms Nowak

The team then met with the library administration representative, Gerry Munoff, and discussed the university's position regarding possible contracting with them for a transition period

There were no surprises that would suggest retreating from earlier recommendations to move the NTC to the Library We met a staff of dedicated people all of whom want to see the Center continued and encourage the Library of Congress to continue the NTC services. While the quantity of translations was consistent with reports, the physical size of the collection was smaller than expected, requiring less space than originally estimated The collection was in excellent condition, leaving open prospects for page scanning and electronic storage

The automated systems that were once on the University mainframe computer have been moved to the microcomputer, making the automated system transfer simpler. The data entry procedures are straight forward and uncomplicated, suggesting minimal training requirements for the data entry clerk

On Friday, October 21, 1988, the team met and discussed the trip and came to the following recommendations

RECOMMENDATIONS

Move NTC to the Library of Congress

Recommend transferring the NTC collection and service function to the Library of Congress. The NTC is a unique and essential operation for the scientific and technical information community of the United States and its continued existence should be identified as necessary for industry, government, and academia

The Library of Congress is an appropriate location for the NTC. In other countries, similar operations are government organizations, e.g., in Japan, the Japanese Diet Library, in Canada, Great Britain, Netherlands, Australia, France Much of the benefits of a central national depository go to the federal government, which is the single largest depositor and user of the NTC services

Placing the NTC here would be beneficial to the Library and to the science and technology information community. (The attached letter from Barbara Roth, EPA to James P Riley is an example of the SciTech community reaction to the closing of the NTC) The NTC will enhance the Library's position with the S&T information community and gives us a fee-based service to business and industry

Our recommended transition should avoid a need to contract with the University of Chicago for a transition period, although the university has left that option open. The older translations (pre-1982) could be shipped at any time A copy of the computer software can also be provided at any time and installed on LC equipment as soon as the equipment is available.

Training could be done at any time by sending the data entry clerk to Chicago, preferably in November or early December while translations are still being processed in Cnicago (After December 31. 1988 the Center will be inactive and special arrangements would be needed. e g . hiring NTC staff as consultants for training)

Position as Section in SciTech, for Now The most logical place for the NTC in the Library of Congress for the immediate future is the Science and Technology Division to take advantage of the SciTech Division staff knowledge and expertise in dealing with similar materials held in the SciTech Division. We recognize that the longer range placement may vary as MAP Committee recommendations progress with respect to foreign language source materials handling

Position in the Future A MAP Committee recommendation proposes that. in the future. Library of Congress translation capabilities be consolidated in the proposed National Center for Research and Analysis and that the NTC become an integral part of that consolidation effort

Keep the NTC Identity Recommend that the National Translations Center name be preserved for ready recognition by depositors and users and to emphasize the national importance of this asset

Continue NTC Services Recommend that the Library of Congress continue the service of the NTC from its new home in the Library of Congress Hundreds of businesses and federal agencies have come to depend on the services of the NTC and there should be no lessening of those services

Enhance Services for Cost Recovery Operations

The NTC operations are not recovering full costs of operations at this time However, rather than reducing services to balance the budget, it is the opinion of the visiting team that there is ample opportunity to enhance services and marketing to generate cost recovery revenues

The current method of operation of the NTC is a minimal level activity, sort of a lame duck operation In recent years, NTC staff stopped attending SLA, ALA, and other conferences where they used to promote the NTC services. They no longer publish an index In short, the NTC has minimal exposure to the growing S&T information community.

Members of the team have formed various ideas for enhanced services that the Library of Congress could offer to improve the market position of the NTC.

1 More extensive cataloging to provide better subject access and make it a more useful collection.

2 Greater use of automation to access the bibliographic data base and translations themselves

3 Identify "hot topics" Publish special topical bibliographies. The way the services are used now, the consumer identifies a foreign language piece and asks if the NTC happens to have a translation of it. Understandably, the current market is predominantly the depositors who understand the operation and are tolerant of the high percentage of unsatisfied requests. However, with special bibliographies consumers can request what the NTC is known to have, improving the perception of responsiveness and value of the center The special bibliographies would also inform people of the availability of information from foreign sources that they may not otherwise seek out because of the costs of translating

4. With "hot topics" identified, the NTC can take a proactive role and target deposits to enhance the special topic areas.

5. Most of the translations are typed, double spaced, 8 1/2 x 11 inches on bond paper They are in good condition Most of them could be processed through a page scanner and stored as digital text files accessible by text retrieval software. It is estimated that the full text of a year's translations could stored on a single compact disk

Use Existing LC Resources to Augment Collection

There are translation collections in Library, e g., FRD, CRS, and the SciTech Division, which could be integrated with the NTC collection In doing so, the subjects in the data base could be incrementally broadened, making the collection a still more valuable asset A central collection of translations in the Library, particularly when supported by a bibliographic data base, would make the unrestricted translations now held in CRS and FRD available to the public

START-UP

Objectives

Transfer the National Translations Center to the Library of Congress.

Begin receiving new deposits at the Library of Congress by December 1, 1988 (NTC Chicago will stop receiving deposits November 1, 1988)

Begin handling translation requests through the NTC in SciTech by January 1, 1989 with reproduction and billing handled by PhotoDup

Be at current NTC operations level by March 1, 1989

Have permanent staff in place by July 1, 1989

Detail a Transition Team

A transition team should be formed as soon as possible by detailing current LC staff. The transition team should be charged with responsibility of getting NTC operations going at the Library of Congress, while permanent staff is selected and trained

Transition Staffing The transition team should be comprised of 4 people

2 professionals knowledgeable in matters of handling tra. slations and capable of communicating with depositors. users, participating LC units. e g , Information Office, Publications Office, PhotoDup, E&G, international agencies, e g., ITC. Canadian Translations Center, British Library, etc These two would be responsible for coordinating the transition, maintaining depositors, establishing position description for the permanent staff, and planning the longer range operations of the NTC

1 bibliographic data entry clerk to input the bibliographic citations on a microcomputer

1 programmer/analyst to oversee the installation of the existing NTC automated system and to plan the system enhancement. electronic transfer of translations from depositors, integration/conversion to a system more consistent with other Library of Congress systems.

Assumptions SciTech reference staff can handle the translation requests, pull the translations. and forward them to PhotoDup for reproduction and billing.

Priority Photodup Service The current NTC offers 5 working day turn around on translation requests. This is shorter than the published service from PhotoDup The current demand is not so great that the Library should not be able to handle the NTC requests within 5 working days between the efforts of the SciTech division and PhotoDup if they are given priority If PhotoDup cannot assure 5-day turnaround. alternative copy services and staff should be considered

Permanent Staff The NTC now has three permanent staff. Head (who also does cataloging a reference librarian. and a data entry clerk They receive support services from their photoduplication center. administration, data processing, etc in the same manner as if at the Library of Congress The permanent staff is likely to be 3-4 people

Section head (GS-13/14). The team leader needs to be a person experienced in dealing with translations and capable of communicating effectively with depositors and users The section head is also responsible for selecting translations for processing and markup (cataloging) for data entry.

Library technician (GS-5 7) Primary responsibility is handling translation requests, conducting reference searches, and compiling bibliographies.

Bibliographic data entry clerk (GS-5/6)

Programmer/analyst (GS-11/12) knowledgeable in bibliographic systems, especially on microcomputers This will probably be a part time duty once the system is stabilized

Invite Gift From University of Chicago

To start the process, the Library should contact Martin Runkle or Patricia Swanson and suggest th they formally offer the NTC collection and automation software as a gift to the Lib . of Congress

E&G Supply Shipping Labels

The procedure is for the University of Chicago to select a mover and get an estimate of the costs Assuming the cost is more than $1,000, the estimated is submitted to the Library for approval The Library then accepts the estimate or instructs the sender to get another estimate The bill is then sent to the Library for payment Guesstimates on a collection thi ze from Pat Swanson and a consultant who has moved libraries range from $10,000-$30,000 including packing, boxes, shipping, unpacking and shelving The consultant made the lower of the two estimates. Labor rates apparently can vary from $10-$20 hr. for packing and unpacking

Space Requirements

The collection of 368,000 processed items is predominantly in full-sized form (268,000 items shelved in two areas occupying approximately 1,090 linear feet of shelf space at 90% capacity). The collection also includes microfilm translations (about 100,000 translations on 2,880 reels of film housed in 6 old but serviceable microfilm cabinets). Some microfiche (estimated 10,000 to 12,000 items stored in a single microfiche cabinet)

Additionally, there are perhaps 70,000 old unprocessed translations stored off-site in cardboard boxes These materials would occupy about 312 linear feet of shelf space if removed from the boxes

Incoming (and backlogged) translations are about 6,000 items and require about 30 linear feet of shelving

The current card catalog occupies about 2000 card drawers in 20 cabinets (8 drawers across and 12 high) These cabinets have room for continued card filing for an indefinite time.

The total physical size of the collection includes 7 fiche/film cabinets, 20 card cabinets and 1450 linear feet of shelving space

Annual growth rate is estimated at 40 linear feet of shelf space per year with negligible growth of microforms or card files

Older Collection Storage

The older translations, pre-1982, could be stored away from the more active collection. (Estimated 1175 linear feet of shelving) Suggest 4th floor north in the Adams Building or space in the Navy Yard Annex. (If stored at NYA, FRD staff could retrieve and reproduce translations requested.) Some portion of the older NTC collection is duplicated in the Library because of earlier practice of dual deposits The duplicates can, in time, be eliminated.

PC-based Automated System

Initially, for continuity, the existing NTC microcomputer-based software should be used for data entry and reference searches. However, in the longer range the NTC system will probably be changed to something more consistent and compatible with other Library of Congress systems. The existing software is transportable to a Library of Congress supplied microcomputer system equipped with "Advanced Revelation" data base management system However, software support from the University of Chicago is nominal at best (The programmer is currently in Africa doing anthropological research and is expected to return sometime in November, 1988)

Microcomputer Equipment

The current equipment is an IBM PC/AT (6 Mhz) with a monochrome monitor, modem, and 2-20MB hard disk The disk capacity is insufficient to hold the citations to the whole collection The NTC had planned to network 2 pc's for a separate reference work station, but the old IBM PC they were given was too slow to function satisfactorily in a local area network environment.

The preferred configuration for the most efficient and productive operation would be a local area network based on a 386-based file server with at least 100MB disk storage ($6.500) and 2 286-based pc workstations ($3.000 each) with Novell local area network software ($2.000) and network communication hardware ($1.000) The starter equipment configuration could be a 386-based MS-DOS computer with large disk capacity (100MB), e.g., Compaq DeskPro 386/20 model 130 ($7.000) and a 2400 baud modem ($500).

The system needs 2 printers 1) a laser printer for publication quality printing (est. $2.500), and a dot matrix, pin feed printer for printing catalog cards (est. $850)

To run the programs supplied by Chicago, we will need "Advanced Revelation" data base management system with the networking option (est $1.500).

In short, the center will need an estimated $25.000 worth of computer equipment; but can start with a single work station at about $10.000

ITC Agreement

The current NTC agreement which expires December 31. 1988, with the International Translations Center calls for 8.500 bibliographic records a year at $10 per record

According to the current ITC agreement, the NTC provides a magnetic tape monthly and is paid by the ITC quarterly in advance

NTC was also to receive 20% of the net receipts from use of the DIALOG data base (which is not yet implemented).

According to the agreement NTC retains ownership of the bibliographic records sent to the ITC.

The agreement also precludes the NTC from publishing its own citation index. This restriction, in our opinion has been detrimental to the sales of translations by the NTC because the international index is more costly and less attractive to U.S consumers than was the NTC index. The team favors negotiating an agreement with the ITC for its income and for cooperation with the international community; however, the restriction on publishing indexes needs to be modified to allow at least topical publications by the NTC.

British Microfilm Agreement

The NTC currently has an agreement with the British Library where NTC microfilms U.S. translations (excluding patents) published in the past 10 years (about 30% of all translations received). The British pay the photoduplication charges for the microfilming and a second copy of the microfilm which is retained by the NTC. This agreement should be continued. (This agreement pays the photo duplication charges only. There is no income to the NTC.)

UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
WASHINGTON, D C. 20460

Executive Director
Federal Library and Information
Center Committee

OCT 25 1988

RECEIVED

OCT 19 1988

OFFICE OF
ADMINISTRATIVE
AND RESOURCES
MANAGEMENT

Mr Jim Riley
~~Science and Technology Division~~ FLICC
Library of Congress
1st bet E. Capitol, S.E.
Washington, D.C. 20540

Dear Mr. Riley:

Recently, the National Translation Center advised us they will no longer serve as an active clearinghouse for scientific and technical translations. As you are aware, we have been using this service for fifteen years to make EPA translations available to the public, in addition to serve our own program offices. Discontinuance of this clearinghouse function will have a serious impact on us.

We are in support of any effort that will substitute this service. Please keep us advised of any activity in this area.

Sincerely yours,

Barbara Roth

Barbara Roth, Acting Chief
Information Services Branch

cc: A Pirnie
S Schilling
L Spencer
G Bulter

DOC 68

Subject: Translation Services for the Supreme Court

I. Statement of Issue

The Supreme Court currently relies on outside contractors for the translation of foreign correspondence and other foreign materials when required in selected cases. The National Center for Research and Analysis translations could be undertaken for the Court as needed without charge on a confidential basis.

II. Analysis

The Supreme Court formerly referred translations to the Department of State until that department became so burdened with its own translation needs that it began referring the Court's translations to an outside contractor. The Court now makes these referrals. Given the potential sensitivity of certain matters before the Court, it seems worthwhile that the National Center for Research and Analysis include translations for the Court as part of its appropriated responsibilities. Because the Court already uses its appropriated monies to hire outside contractors, it is maintained that given the focus and acquired expertise of the NCRA the translations would be more cost effective. Moreover, as a government entity which incorporates the established record of FRD in security matters, the NCRA assures that the confidentiality of the Court would be better ensured.

On the other hand, translation of foreign law requires special expertise. Familiarity with legal terminology and practice is essential. Setting up a separate legal translation unit in the proposed NCRA is not cost efficient. But as noted by the Law Library division chiefs: "Such a service presents another problem, since the job descriptions of the foreign legal specialists do not require translations except in the course of providing information to Congress. Translations are time-consuming and require special training on the part of those familiar with the language, not to mention knowledge of the proper English terminology. It could only be achieved under the present circumstances by setting up a completely separate unit, with fees charged for non-congressional users."

National Advisory Committee member Justice Sandra Day O'Connor stated that the Court would be "overjoyed" to have translation services available for the Court. She cited an instance in the last term where background documents in a case were not available in translation although they might have been helpful. She cited the Court's particular need for translation of background materials for treaties.

III. Options

A. Translation services should be offered to the Supreme Court by the proposed National Center for Research and Analysis as part of its appropriated responsibilities. When a legal document is the subject of translation, the Law Library should review it for the Court in order to be certain that legal meaning and practice is sufficient for the Court's technical needs.

B. Translation services should be offered to the Supreme Court by the proposed National Center for Research and Analysis either through a transfer of funds from the Court, or through appropriated funds to the Library as a line item designated for that purpose by the Congress. As in option A, the Law Library should review the translations to ensure that the necessary legal meaning and practice is adequately conveyed.

C. Translation service should be offered to the Supreme Court by the Law Library as part of its traditional assistance to the Court, perhaps extending that translation service to others for a fee by setting up a special legal translation unit.

D. Translation services for the Supreme Court should be undertaken by the Law Library for a fee.

IV. Recommendation(s)

Option B.

Subject: Class K

I. Statement of Issue

As stated by the American Association of Law Libraries in a letter to the MAP Committee on October 27, 1988: "The lack of completion of foreign law class K, the need for restructuring of JX, and the failure in applying LC classification retrospectively to the law collection have been major impediments to the ability of American law libraries to organize materials as individual libraries or as a collective."

II. Analysis

"Completion of the class K schedule has been an issue since the 1950's." In making this observation, Arthur D. Little in its 1979 study recommended that the Law Library "set a period of finite length--we suggest between one and two years--to complete the classification system for all foreign jurisdictions." The consultant group also recommended that the Library of Congress increase the priority afforded to Law Library cataloging by Processing Services. Arthur D. Little recognized that this objective can be met only if more resources are made available for the Library's processing services functions.

The need for completion of the K classification was given further recognition by the Library in 1984 when it established the Law Classification Advisory Committee. The committee's charge was to "review the plans for the development of the law classification and make recommendations regarding the nature of the development and the time table for the completion of the remaining volumes." Priorities for schedule development and a time table had been reviewed and approved by the committee. While the development of the classification schedules has proceeded according to this time table, as noted by the AALL National Legal Resources Committee, the "indexing and publication of the schedules lag far behind." The indexing of the European schedule is almost completed and is anticipated to be published very early in 1989. The next step is the development of schedules KL-KZ covering the law of Asia and Eurasia, Oceania and Antarctica; this step is to be followed by a revision of JX. Finally, class KC is to be developed for theocratic or religious-based legal systems.

Given budgetary cuts in Processing Services, additional resources have to be found to provide the assistance needed to allow the Library's classification specialist to issue the schedule according to the time table set forth.

III. Recommendation(s)

Processing Services should set out a time table identifying the type of staff and estimated costs needed to assist that department's classification specialist in completing the law schedules. Funding assistance should be sought in cooperation with the American Association of Law Libraries.

Subject: Fee for Legal Research and Reference Services

I. Statement of Issue

Basic services within the Law Library have not received adequate funding. The D.C. Bar and law students call upon a disproportionate share of its resources. The executive branch and major private firms rely upon the Law Library's foreign law collection and legal specialists. Selected services within the Law Library should be offered for a fee.

II. Analysis

The 1979 review by Arthur D. Little concluded that a fee for service was a viable course for the Law Library to supplement much needed resources. The consultants had identified a willingness in the executive branch and in the private sector to pay for certain kinds of research from foreign legal specialists, although the need for market research was duly noted. Among the questions to be addressed are congressional authority, competition with the private sector, and possible conflicts of interest. The chiefs of the Law Library see "the current legal reference and research support offered to the Executive agencies as ready for consideration on a fee-for-service basis, provided that the question of congressional and federal judicial priorities are adequately protected. However, in considering the provision of the same research products for the rest of the legal community, extreme caution must be exercised in charging fees, in view of the conflict of interest provisions of 18 U.S.C. 205, which penalizes official government support, including advice rendered for anyone appearing before any agency of the United States Government with a claim or controversy to which the United States is a party."

Assuming appropriate and feasible constraints can be placed on certain request areas of potential conflict of interest, such as immigration, it is held that limited research, bibliographic products and automated indexes may be marketed to the entire legal community. As observed by the chair of the AALL National Resources Committee: "Fee for services paid by institutions on behalf of their members or by individuals allows sophisticated, time-consuming services to be provided without sacrificing basic services to the primary patron bases, which include the nation's libraries; the downside is increased end-user expectations, which may necessitate the introduction of improved training programs, performance standards or special staff assigned to fee-paying clientele." Another problem that needs to be addressed is the potential denial of equal access to avowed public interest law firms. But as also noted by the National Resources Committee chair, "law libraries are turning to fee for services to ration services to secondary clientele and to provide transfer payments to legal services organizations and other not for profits in order to assure equal access to legal information."

III. Options

A. Market only the bibliographics and automated indexes through the proposed National Center for Research and Analysis (NCRA). No other Law Library service should be offered given that the Law Library is the only unit suggested for possible fee for service that also serves the Congress. This option would avoid any potential usurpation of Congress as the priority for the Library. If a market is clearly identified, set up a separate legal fee for service within the proposed NCRA.

B. All foreign legal specialists of the Law Library should remain within the Law Library for the sake of efficiency and be available for fee based services to both the executive branch and the private sector. But given the developed expertise in fee for service management, marketing, accounting, and so on, it would be better to have the services contracted through the NCRA. Systematic marketing must be undertaken to identify particular products and appropriate consumers. The AALL has offered its assistance and experience in this endeavor. Arthur D. Little extensively considered the potential conflict with Congress as a priority for the Law Library in the implementation of a fee for service. The consultants concluded that the Law Library could protect its ability to serve Congress by accepting research assignments from non-congressional clients where the resource requirements were of a predictable and finite amount and duration, and where there was a low probability of straining known pre-existing commitments for congressional requests. Arthur D. Little contended that "development of a quasi-market system for foreign legal services and special American Law research will significantly--improve both the Law Library's need to, and ability to, plan as well as--improve its selection of services offered to the Congress...."

IV. Recommendation(s)

Option B.

DOC 71

Subject: Organizational Status of the Law Library

I. Statement of Issue

The chiefs of the five divisions of the Library's Law Library stated the issue quite succinctly on October 7, 1988: "It is very true that there is a need for more effective national leadership in the fields of law librarianship, national networking, and collections management, and hopefully this will be met through a necessary reorganization within the Law Library and the provision of superior leadership in the field." This statement was contained in their response to the question of whether the Law Library should remain an independent department of the Library of Congress or be integrated as an identifiable unit within a larger Library department. However, whether the Law Library's status is retained or altered, it is clear that the demands of a national legal information system require the Library of Congress to assess the organizational options available for its Law Library.

II. Analysis

The incorporation of the Law Library within the Research Services department was proposed eight years ago because of the perceived lack of integration of social science and foreign area study expertise in the research efforts of the Law Library. This proposal prompted a major consultant study in late 1979 by Arthur D. Little which concluded that the interdisciplinary integration could be promoted without changing the organizational status of the Law Library. In the past eight years it is maintained by some that the integration of research hoped for has not taken place; rather it has become an increasing need, particularly given the development of the global economy in the past decade. The 1980 decision to maintain the Law Library independent department status was significantly influenced by the efforts of the American Bar Association and the American Association of Law Libraries to persuade Congress of the importance of maintaining the independent status of the law library. Given the current law [2 U.S. 132], congressional action would likely be required to incorporate the Law Library into a larger department. If the compelling need for the Law Library to be further integrated into the Library is determined still to exist then a convincing case must be made to the major constituencies of the Law Library, as well as to the Congress.

According to the chiefs of the Law Library: "If the Library is serious about the Law Library functioning in the most effective and efficient way, it should give the Law Library additional control over its collections development, processing activities, and cataloging and collections management, not to mention additional staff in the clerical and technical and bibliographic areas, so that the present staff would be freed to do additional legal research." This statement was made in the context of considering a proposal to establish a separate Library Services Division within the Law Library. This new Division was suggested to be composed of all the technical services that could be feasibly incorporated within the Law Library and of all the Reading Room reference staff. Also in response to this proposal, a group of 19 professional Law Library staff observed: "We would point out only that with the removal of the Reading Room from the jurisdiction of the American-British Law Division, that division will join three other divisions in having a small staff. This would mean that in four of the five divisions of the Law Library, 11 foreign law specialists and a professional support staff of six will be managed by eight chiefs and assistant chiefs (or assistants to the chiefs)." The European Law Division has nine full-time foreign legal specialists and a professional support staff of four managed by a chief and assistant chief. The overall high ratio of management to staff may be due in part to a larger library problem, namely, in lieu of adequate grade level options for specialists, management positions are created to reward performance. Directly as a result of the Arthur D. Little study, seven years ago, the foreign legal specialist positions were reclassified from the 1410 series to an agency-specific 095 series. This was one of the only two

Arthur D. Little recommendations that were implemented; the other was the creation of a special assistant to the Law Librarian. All other recommendations have not been acted upon over the eight year period.

III. Options

A. Establish the Law Library as a completely independent National Law Library. This option was considered by Arthur D. Little which concluded that the disadvantages of separating the Law Library from the rest of the LC collections and processing outweighed the advantage of having an independent institution gaining attention and resources solely to meet the legal information needs of the Nation, particularly given national budget constraints. On the other hand, an October 23-26, 1988, workshop of the National Legal Resources Committee of the American Association of Law Libraries on "Setting the Legal Information Action Agenda for 2000" set forth as one of its basic questions whether the concept of a national law library was subsumed in the call for a national legal information network. As one law librarian noted at the conference, the medical and agricultural communities have their own libraries, does not the legal and judicial community merit their own as well?

B. Incorporate the Law Library into a larger department of the Library with a research focus. With the approval of Congress, place the Law Library as a clearly identifiable unit within a larger department of the Library. There are examples of library units within a department that maintain national identities. The option would allow systematic coordination of the Law Library research efforts with those of the social science and foreign area specialists of the current Research Services department. The loss of the independent department status of the Law Library, however, could undermine the long-held vision of the Law Library becoming a national network of legal information. As observed by the chair of the AALL National Legal Resources Committee: "Maintaining the Law Library's identity at a level in the Library's hierarchy sufficiently high to attract outstanding service providers and administrators has symbolic value to the American legal community. To divert resources from the fulfillment of the Law Library's service mission to relitigating its place in the Library's struture would be, we believe, a mistake."

C. Transfer the foreign area specialists and their respective collections within the Law Library to the Research Services department, establish a separate Law Library Reading Room and place collections services within Processing Services. This proposed reorganization will allow complete integration of legal studies, reader services and document processing. This option would be a significant loss to the legal profession in its attempt to garner resources to meet their needs. A separate law library is seen by some in the legal and judicial community as absolutely necessary for the priorities of the special library needs of the legal profession to be recognized.

D. Keep the Law Library's status as it is currently and use other means available to ensure interdisciplinary coordination of research. Circumstances have not changed significantly since the Arthur D. Little report and this option comports with their recommendation. Inasmuch as other consultant recommendations have not been implemented these should be reviewed and appropriately acted upon before such a radical reorganization is considered. Alternatively, the reason that the other Arthur D. Little recommendations have not been implemented is because of the current organization of the Law Library, and its lack of appropriate staff to take part fully in many Library of Congress activities (for example, preservation and automation planning).

E. The Law Library needs significant assistance to complete the classification for all foreign jurisdictions, including reclassifying all the different parts of the collection not now classified, and to cooperate with major law libraries across the nation to create a national cataloging network for law collections, possibly through the Linked Systems Project. A newly established Library Services Division may be the appropriate focus of such efforts. The Library should also consider giving this Library Services Division the responsibility for operating the Law Library Reading Room in order to have staffing and management conducted by librarians, much like CRS and its reading rooms. and allow the American-British Law Division to concentrate its considerable staff talent on legal research. The formation of a Library Services Division represents a compromise between a complete vertical integration of processing and the current situation where the Law Library relies upon the Processing Services department for a significant number of services. It appears that some mixed form of vertical integration would be preferable, with the actual mix of internal and external processing to be balanced between the special and unmet needs of the law collections and the need to sustain the development of library professionals through the training and nurturing possible in a department whose focus is processing.

F. Create two Library Services Divisions, one for Technical Services and the other a Reference Service Division whose focus would be the reading room. This would follow more explicitly the experience of CRS. Among the problems with this proposal is the question of scale. Currently, in the Collections Services Office, in addition to a professional librarian, are 25 library technicians, of whom four are supervisory staff. The reading room staff consists of nine reference librarians. On the other hand, it could be argued that the proposed Reference Service Division would be larger than three current Law Library Divisions.

G. Consolidate the five foreign law divisions of the Law Library into a Foreign Legal Research Division with adequate protection provided for current management positions. It may well be that this could be undertaken with another review of the current position classification of senior foreign legal specialists. Place the reference Reading Room staff within a Library Services Division. In addition to the obvious administrative efficiencies resulting from the merger of the foreign law Divisions, the consolidation would free the valuable time of senior foreign legal specialists from duplicative management duties for needed research and eliminate certain problems that arise from current divisional assignments of jurisdictions, for example, countries adhering to the common law system are spread out in three separate divisions--India (American-British), Hong Kong and Singapore (Far Eastern) and Kenya and Nigeria (Near Eastern and African), or as the European community rapidly advances toward a unified legal system, those countries are divided among the European, Hispanic, and American-British Law Divisions. On the other hand, these perceived gains are to be weighed against the loss of quality control with the elimination of in-depth expertise at the immediate supervisory level, as well as the loss of focus that is currently given to widely different legal systems by means of divisions with area specializations. Moreover, inter-divisional projects do occur under the current organizational structure.

H. Merge the five separate divisions into a Legal Research Services Division within the Law Library which would also include the reading room reference staff and all Law Library indexers and bibliographers. The Library Services Division would encompass all current library technical services within the Law Library, as well as all further processing services that are deemed feasible to be added such as collections development, serials processing, acquisitions, but not to include cataloging which should remain within Processing Services. However, additional staffing to directly assist in the completion of foreign law class K, the restructuring of JX, and in applying LC classification retrospectively is to be sought with the assistance of outside funding from the AALL and other sources. The Legal Research Services Division would allow the reading room reference staff and indexers, and bibliographers to have more consistent interchange with the foreign legal specialists which will improve these services. Moreover, because the reading room reference staff handle all American legal research requests from the executive branch and other constituents outside of Congress, their inclusion with legal specialists, many of whom having American legal training, will maximize the opportunity for comparative studies and quality responses in American law.

I. Establish a Foreign Law Research Service in recognition of the Law Library's major and unique service to Congress. The renaming of the Law Library would be in conjunction with a reorganization explicitly modeling itself after CRS. The foreign law divisions could be merged into one and transferred to CRS but the divisions need to be with their collections. Duplication of the collections would be extraordinarily expensive if possible at all. Conversely, the unique foreign law collections are very important to the functioning of the executive branch. The establishment of a separate Foreign Law Research Service would allow the primary function for Congress to be reemphasized under a reorganization and at the same time recognize the service also provided to the executive and judicial branches as well as the national legal community both as a foreign legal resource and in the operation of an American and Foreign Law Reading Room. On the other hand, the Law Library of Congress, established since 1832, already has a national reputation and is seen as a potential national resource by Law Libraries across the nation. Any reorganization to improve its efficiency and effectiveness can be implemented with service to Congress as its primary goal without renaming a distinguished and historic component of the Library of Congress.

J. Reestablish the position of Deputy Law Librarian--a past position that has not been filled for a number of years within the Law Library. The current position of special assistant does not have the parallel to division chiefs to assist the Law Librarian with division management and coordination. A Deputy Law Librarian would fill that need.

IV. Recommendation(s)

Given the congressional and national interest in this question, a separate advisory body should be formed as soon as possible for an expeditious review of the options with a recommendation to be given to the Librarian by the end of the year. Since there is a limited time period for the inquiry, the advisory members should be able to devote the time necessary for an intense short term study. Hence, they should be selected from the Library with a member drawn from the following: the Law Library, the Office of the Librarian, CRS, Research Services, Processing Services, the MAP Committee, as well as a member of the Arthur Young consultant team. Outside advisers to this body should be sought, when deemed appropriate, from the Congress, the Court, the Departments of State and Justice, the American Association of Law Libraries and the American Bar Association, among others. This advisory body's findings would coincide with the planned submission of the report to the Librarian of the AALL National Legal Resources Committee.

Subject: Broadened Fee-based Research Services

I. Statement of Issue

At present the Library offers foreign area research services on a transfer-of-funds basis to only a limited number c. executive branch agencies of the United States Government. While a broader range of executive branch agencies might be served with more concerted efforts on the part of the Library and an expansion of its fee-based research functions, there are no mechanisms for providing similar services to the judicial branch, to state and local governments, or to nonprofit and for-profit organizations, all of which could benefit from such services. (See also "Broadened Research Service for a Fee" [DOC 74] for a fuller description of the issue, rationale for expanding such services, and benefits that would accrue to the Library.)

II. Analysis

The main fee-based research element in the Library of Congress is the Federal Research Division (FRD) which, under a variety of names since 1948, has traditionally provided foreign-area research to a small number of Department of Defense agencies (eight at the onset of fiscal year 1989) and an even smaller number of civilian agencies (one at the onset of fiscal year 1989). Some research programs have been in existence for nearly forty years while others are renewed annually for several years until completed or are no longer needed by the funding agency or are one-time projects of short duration. A much smaller but long-term program is carried out by the Science and Technology Division (S&T) but for only one executive branch client.

Certain factors have influenced the lack of expansion and redirection of fee-based services.

(1) Tradition, not Library regulations or policy, has restricted the Library's fee-based research offerings to current-events foreign area studies.

(2) Mechanisms allowing the Library to charge fees for research services beyond the Federal Government sector appear to be lacking. The legal basis the Library uses to receive fees, on a transfer-of-funds basis, from U.S. Government agencies is the Economy Act of 1932 (31 U.S.C. 686). Other available mechanisms used by the Library to collect fees--the Gift and Trust Fund Act of 1925 (2 U.S.C. 160) and the 2 U.S.C. 150--appear not to be the most effective means for collecting fees from non-Federal agencies and private sector organizations in a manner similar to the Economy Act of 1932.

(3) Professional marketing expertise in offering fee-based research services on wide basis to government agencies is lacking and FRD staff working on current diversification efforts are drawn away from their regular duties as foreign area specialists.

(4) While organizationally almost all fee-based services offered under the Economy Act of 1932 are located in FRD, another is located in S&T. Language services, whether fee-based or paid for with appropriations are located in FRD and in the Language Services Section of CRS (a situation which tends to duplicate language expertise) or are delegated on an ad hoc basis to reference and processing staff members in various Library divisions who are then required to prepare translations as an duty additional to their regular work.

III. Options

To broaden its fee-based research services and thus provide greater research opportunities and access to the unparalleled collections of the Library, the Library of Congress should:

A. Redirect the FRD research function from exclusively foreign-area studies to also include analysis of domestic subjects.

B. Establish a concerted marketing effort in FRD (and in the proposed National Center for Research and Analysis) initially employing contract expertise and later establishing a permanent position of marketing specialist on the FRD/NCRA staff.

C. Establish as the Library's sole fee-for-service element a National Center for Research Analysis (NCRA). Transfer all FRD staff and functions to become the initial core staff of the NCRA. Follow up this action as soon as feasible with the reassignment to the NCRA of the transfer-of-funds programs from S&T Division and assignment of the National Translations Center (NTC) to the NCRA, and consolidate the Library's translations functions in the NCRA (a separate MAP recommendation is available on the NTC and translation consolidation) [DOC 65]. Locate all NCRA functions in Capitol Hill buildings so as to give the staff immediate access to Library collections and services and to professional colleagues on the Library staff.

D. Request congressional appropriations to provide (1) annual support to the NCRA for language services provided to Congress, the Congressional Research Service, and the Supreme Court plus 20 percent of the projected annual budget to insure staff continuity and managerial stability; and (2) for start-up costs for the NCRA over a phased-out two-to-three year period.

E. Request congressional authorizations for funding mechanisms that will allow the Library, through the NCRA, to accept work (and retain all fees paid) from state and local governments, the private sector, and foreign governments and organizations. Within this mechanism there should be a provision for the Library to charge fees for service to Congress should it seek research services from the NCRA when such services are not available in CRS.

F. Designate a transition team to oversee the establishment of the NCRA.

G. Establish an external advisory committee to the National Center for Research and Analysis to provide guidance on issues related to conflict of interest, free access, equitable fees, and fair use of research products.

IV. Recommendation(s)

Implement options A and B immediately. Implement options C through G in the near term.

Subject: <u>Enhancement of Staff Research Opportunities</u>

I. Statement of Issue

All too often, staff members with unparalleled expertise in a variety of fields and topics, especially those in reference and processing positions, are not afforded sufficient opportunities to employ their expertise in a research environment. Library staff capabilities, which could be offered as a temporary fee-based service to external clients, are thus not fully employed to the agency's and the individual's benefit. (See also "Broadened Research Service for a Fee" [DOC 74].)

II. Analysis

Reference librarians spend most of their time doing reference tasks. The performance of those tasks has given them in-depth familiarity with sources and methodologies as well as expert knowledge of a variety of topics. The same holds true for numerous processing specialists who are immersed daily in rich research materials. This latent talent can not be fully utilized until it is employed in a research environment. Once so employed and the products of research made available, the Library--and by extension, those whom it serves--will be better positioned as a supplier not only of information but of the knowledge derived from its collections through expert analysis.

III. Options

In support of the objectives of the proposed National Center for Research and Analysis (NCRA) and, thus, provide enhanced fee-for-service to the nation:

A. Establish cost-recovery mechanisms permitting qualified staff from throughout the Library, as their workload allows, to work on research projects for the NCRA on behalf of fee-paying clients.

B. Allow periodic, work-release programs, details, and rotational assignments of qualified staff to the NCRA.

C. In conjunction with another MAP Committee proposal on creative reassignments [DOC 14], allow staff on paid sabbatical to work on research projects in the NCRA.

IV. Recommendation(s)

Implement options A through C.

Subject: Broadened Research Service for a Fee

In order for the Library of Congress to more fully pursue its mandate of service to agencies of the United States Government and to offer new services to state and local government and to the corporate public--as represented by non-profit and for-profit organizations--and to exploit its rich collections more comprehensively through staff-generated scholarship, it is proposed that the fee-based research service now offered be significantly broadened. The Library of Congress can play an important and useful role in helping to fulfill the nation's burgeoning information needs and satisfy its quest for knowledge as the turn of the century approaches. While continuing to offer the Library's traditional free reference services--those available at no charge to public users of the Library of Congress--new emphasis can be placed on a wider range of fee-based, valued-added, in-house research, analysis, and translation services to any organization--public or private--or individuals needing research services and willing to compensate the Library adequately for services rendered. Users of the Library's fee-based services can benefit from staff-researched analyses and interpretations, foreign-language translations, special research services, and tailored products, all based on insiders' knowledge of the greatest library collection in the world. Existing associations with the Federal Government can be broadened, and links not now existing between the Library and state and local government and the business, industry, and research and development communities can be established. This initiative is a continuation of long-standing Library practices, a new effort to significantly broaden the scope of transfer-of-funds services provided by the Library to the executive branch of the United States Government at least since 1948, and the beginning of similar services to organizations beyond the Federal sector.

It is proposed that broadened fee-based research be accomplished by developing a flexible and versatile Library element tentatively called the National Center for Research and Analysis (NCRA) which will offer services similar to those provided to Congress by the Congressional Research Service (CRS). It will enhance the foreign-language research and translation services now offered to Congress by consolidating all translation efforts in one Library element and making available those services to Congress and CRS on a first priority basis (see Services Offered, below). The NCRA will also stand ready to fulfill the research and foreign-language requirements of Executive and Judicial Branch agencies of the United States Government, state and local governments, and the nation's business, industry, and research and development communities. It is anticipated that those groups will find it more efficient and cost effective to pay for such Library services than to carry out their own research at the Library or elsewhere. These organizations will benefit from the creation of a tightly organized, comprehensive fee-based research service in a variety of ways. The Library's research-for-a-fee element will have, ideally, a core of in-house researchers and linguists having an unparalleled insiders' familiarity with the world's largest collection of research materials. Because the core staff access the collections readily, routinely, and comprehensively on behalf of fee-paying organizations, they will bring a perspective to their research based on years of continuous experience with and intimate understanding of the collections. A full range of editorial, clerical, graphic, and technical support services also will be provided from among the staff of the fee-for-research element. When more specialized expertise is required than is readily available among the core staff to complete the research needs of its clients, the NCRA will have mechanisms to draw either on specialists in other Library offices or from a portfolio of freelance consultants who will be contracted with for unique research needs. Fee-paying users of the Library can take advantage of a flexible and responsive professional Library staff and consultants, either as individual experts or as members of multidisciplinary teams Thus, the Library, either through its own staff or by means of outside specialists, will be able to provide a well-organized, highly qualified, but cost-effective service that can not be duplicated either by government agencies or private organizations seeking to make major use of the Library.

Through the payment of fees, organizations that opt to take advantage of the Library's fee-based services will receive research, analytical, and translation services that can not reasonably be obtained within the range of free reference services provided by the Library. Moreover, in view of the increasing constraints on its budget, the Library can not afford to offer analytical and research services gratis that government agencies and nongovernmental entities routinely purchase from private vendors. It will be incumbent on the Library management to develop effective guidelines to assist the staff in determining when it is appropriate to offer fee-based services to users.

The Library, in the course of providing this national and, at times, international service, will gain greater and more current knowledge of its own collections and provide its staff with greater opportunities for in-depth use and interpretation of those collections, thus further improving service to the Congress and to the nation. It also is anticipated that as more members of the Library staff become involved in providing research services that help sustain the Library budget and as they become more entrepreneurially minded, there will be heightened awareness of the need for faster processing of materials to facilitate the research and fund-generating processes.

A final goal is to make available to the nation the results of research conducted. To the greatest extent possible, the Library should endeavor to make public (albeit usually for a nominal cost-recovering fee) the research reports, translations, and other work products of the NCRA. Through written agreements with clients, the copyright to some products may be assigned to the Library for further dissemination in a variety of paper and electronic media. Normally, there shall be no proprietary restrictions on reports prepared for fee-paying clients of the Library.

An important aspect of this proposal is the need to carry out a market analysis. Arthur Young has been charged with studying the Library's fee-for-service structure. This study will help determine the extent of current, Library-wide fee services. The Federal Research Division's (FRD) contract with a marketing specialist also will contribute to the identification of the market for fee-based research services. Once the NCRA is established, routine market analysis will be required (see Structure, below). In the course of analyzing the marketplace, all potential entities--public and private, profit and non-profit organizations; governments, foreign, domestic, national and local; and individuals--will be considered. In some cases there may be constraints on the Library's ability to serve all who seek fee-based research services. The Library will have to develop clear and consistent guidelines to protect its reputation and ability to deliver services equitably and to avoid any conflict of interest in its service to Congress.

A. ISSUES OF CONCERN IN OFFERING FEE-BASED SERVICES.

As an introduction to the discussion and recommendations to be made in this document, certain assumptions concerning a number of issues of sensitivity must be made for the consideration of a transition team making implementations plans for the NCRA. As both the library of the United States Congress and the national library, the Library of Congress has long provided impartial services to the Congress, the various agencies and officers of the United States Government, and to the general public. Appropriations provided by Congress have long compensated the Library for its reference and research services provided to the legislative branch. Quid pro quo and transfer of funds arrangements have made similar services available to the executive branch and, similarly, the judicial branch has long enjoyed the services of the Library as provided through congressional appropriations at no additional charge. The general public has long obtained free reference services while paying fees for various Library services and products.

The Library also has offered value-added research services to the agencies of the executive branch throughout the post-World War II period. The proposal at hand recommends ways in which such services could be expanded both within United States Government circles and beyond to state and local governments and the private sector, all to the mutual benefit of the Library and the government and private-sector information-seeking communities. As the Library embarks on the recommended expansion of its fee-based research services, it must carefully develop well-thought-out policies and guidelines that take into consideration the following areas of potential sensitivity:

Conflict of Interest: the guidelines must ensure that by entering into research-for-a-fee arrangements the Library does not give the appearance of a conflict of interest in its service to Congress, other branches of government, or to the nation in general. Similarly, the Library's reputation as a provider of factual information and impartial analysis must be protected in the presentation and use of its fee-based products by its clientele. Moreover, the attribution to the Library of Congress of NCRA products must be judiciously handled so as to protect the Library's stature as a public-service agency.

Subjects of Research: Whereas the NCRA will offer research services for virtually any subject researchable in the Library of Congress, it shall remain the domain of CRS to provide analyses of legislation. Certain public-policy research requests may possibly be deemed inappropriate topics of research for the NCRA vis-a-vis the role of CRS. In other cases, however, it is possible that Congress may request research on a subject for which CRS does not have the immediate expertise but the NCRA does. In such cases, it should be in consonance with NCRA charter to provide such research and analysis to Congress on a cost-recovery basis. (Elsewhere in this report [DOC 65] it is recommended that all language services for Congress and CRS be provided by the NCRA.)

Continued Free Access: The integrity of traditional free access of all Library patrons to the collections of the Library must be maintained for all who are willing to do their own research despite the availability of fee-based research services offered to organizations and individuals who feel they are better served by paying Library staff to conduct their research.

Equitable Fee Structure: An equitable schedule of fees must be developed that, while ensuring that the Library is adequately compensated for its services rendered, does not impinge on the ability of outside professional researchers to fully use the collections and facilities of the Library.

Distribution of Research Products: The guidelines, while satisfying the rights of the clients to have adequate use of Library products prepared on a fee-for-service basis, must protect the Library's interest in making the results of its research widely available. As a minimum, all NCRA products should be added to the Library's Federal Agency Collection which should be made more available to the public than at present.

B. FUNCTIONS OF FEE-FOR-SERVICE ELEMENT.

1. Services Offered

a. General: Fee-for-service work will concentrate on in-depth research and analysis and translations using the full range of Library resources. Such services will range from individual translations to the publication of series of multidisciplinary handbooks. Services offered within this range will include selective dissemination of information, similar to that provided to Congress by CRS, using the general and special collections of the Library with emphasis on current foreign-language and domestic literature; the creation of indexes to special-request foreign and domestic subjects and sources; the compilation, editing, and publication of selective, annotated bibliographies; abstracts, extracts, and complete anticipatory or special-request translations of foreign language materials; reference materials and bibliographies relating to curriculum development; and one-time or periodically updated analytical studies and reports.

b. Translations: Another MAP Committee recommendation [DOC 66] proposes that the Library acquire the collections and service functions of the University of Chicago's National Translations Center. It is proposed here that the National Translations Center, while maintaining its name, be placed administratively with the NCRA and that all Library translation services be consolidated within it. By making this administrative assignment it is envisioned that the NCRA will be better positioned to offer comprehensive language services through a consolidation of translation efforts currently conducted by CRS, FRD, and on an ad hoc basis, by various other departments (see Organization, below).

It is envisioned that Congress and its research arm, CRS, will be the direct beneficiaries of the linguistic and translation expertise concentrated in the NCRA. The Library, in this proposal, would seek congressional authorization to reassign the translation staff of CRS to the NCRA and request an appropriation to support all other foreign-language needs of Congress and CRS now conducted in CRS and on an ad hoc basis by various Library departments (see Organization and Funding, below). With the consolidation of the foreign language capabilities of FRD and CRS, plus new staff hired with congressional appropriations, and the acquisition and placement of the National Translations Center as an integral part of the NCRA, foreign-language service to the Congress will be significantly enhanced. First-priority service to Congress will be of primary concern to the NCRA.

Additionally, it is proposed that the NCRA be responsible for the development and maintenance of an online foreign-language bibliographic citation file on LOCIS. This file will be designed primarily to serve Congress, but also will be available on SCORPIO to the general public (through reading room and possible off-site access) and the Library's fee-paying users. Implementation of this suggestion may result in a file combined with the current English-language BIBL file or the creation of a separate file having cross referencing capabilities with other SCORPIO files or their successors. It is envisioned that the staff of the National Translations Center would have primary responsibility for maintaining the file, with contributions being made to it by other NCRA staff and, as appropriate, other Library staff on a courtesy basis. This recommendation could be implemented in the near term as a joint venture by FRD and CRS.

Language-related services also will be available to all fee-paying users, in the form of anticipatory and special translations, the compilation of an online foreign-language bibliographic citation file, and the establishment of a service to locate translated materials. To help accomplish these ends, the Language Services Section of CRS would be incorporated into the NCRA as part of the National Translations Center. Language expertise from other Library divisions, especially those in the area studies divisions and foreign-language processing sections, will be consulted with only as necessary in support of the Library's general translation services program. To complete the range of language services offered, translations on demand or translations of items for which English-language versions are not available will be offered.

c. Ad Hoc Services: Additional services offered to clients of the fee-for-service element will be quick responses to ad hoc research queries and in-person research assistance to representatives of fee-paying organizations who prefer to do their own on- or off-site research. These services will not replace or duplicate the free reference services provided through the general and special collections readings rooms but normally will be directly related to long-term client-directed programs. General reference questions received by the Library's fee-for-service element from fee-paying organizations seeking direct access to Library collections will be referred to reference specialists in the appropriate division or reading room. Similarly, users making initial contacts with the Library through the general reading rooms, area studies divisions, and special collections whose needs are so comprehensive that they might be better served through fee-based services will be referred to the fee-for service element (see

Organization, below).

d. Methodology: All value-added services will be conducted impartially, employing objective research and analytical techniques. Products will be prepared as monographs, periodicals, and computer data bases and delivered in a variety of hard-copy and electronic formats, each tailored to the client's needs. Product review or quality control will be employed to assure non-advocacy stances in all analytical findings. The review process will involve the progressive development of new products from initial meetings with clients, to a research design developed in concert by researchers and supervisory staff, to peer review, substantive review by senior area and subject specialists, technical editing (grammar, spelling, logic, style, format), and review and approval by the client organization.

The majority of fee-for-service research and analysis will be carried out by the fee-for-service element and through arrangements made with the management of other Library divisions or through contractual agreements with outside consultants. Certain other special fee-for-service activities, however, that require customized reference and research services best provided by specialists, for example, in the Copyright Office or in special collections and other custodial divisions, will be carried out by those divisions. Similarly, fee-for-service document delivery for domestic and foreign libraries will be retained by the Loan Division or its successor. As the hub of the Library's fee-based services, the NCRA can serve as a internal broker and liaison with other Library elements in referring, providing, or procuring such services. It should be noted that non-research services (such as retrieving bulk quantities of research materials for large-scale users of the collections) for a fee are in the offing in various parts of the Library. Such request for services would be referred to the management of the custodial division in question.

2. Subjects of Research and Analysis: The subjects of factual research and analysis offered, both foreign and domestic, will include political, economic, industrial, national defense, scientific, technical, sociological, anthropological, and historical topics, as well as studies in the humanities--virtually any subject researchable in the Library. (Analysis of legislation, however, will remain the domain of CRS.) The research assignments normally will be directed by the needs of the fee-paying organization, although from time to time the Library may find it desirable to conduct initiative research and publish serialized media. Research topics for the judiciary and the legal community will include both judicial and non-judicial social science areas as required by the consumer. Support to the judiciary and the legal community will be a cooperative, shared effort between the Law Library and the NCRA once--after careful assessment of the impact involved and an evaluation of the available resources has been made--it has been determined how and when the Law Library's normal clientele would be charged for particular research services. The Law Library staff will provide fee-based research on legal matters and the NCRA will serve as the Law Library's fee broker, source of translation services, and, where expertise does not exist in the Law Library, provider of non-legal research findings and reports to the Law Library's normal clientele. Translations of foreign-language materials done for the Supreme Court will be reimbursed on a cost-recovery basis.

In developing fee-based services for Executive branch agencies the question of congressional and Federal judiciary priorities must be adequately protected. In considering fee-based service to the rest of the legal community, caution must be exercised in view of conflict of issues provisions of 18 U.S.C s 205, which penalizes official government support, including advice, rendered by anyone appearing before any agency of the United States Government with a claim or controversy to which the United States is a party. State and local governments might seek literature surveys and analytical research reports on a range of domestic topics as well as foreign-area interests, including bibliographies, translations, and objective, non-advocacy situation reports in support of state-facilitated trade agreements, sister-city arrangements, and joint ventures. Foreign area situation reports and translation services can be provided to private sector businesses, industry, and research and development organizations.

C. ORGANIZATION.

1. **Structure:** To accomplish the goals of this proposal, it is envisioned that an internal hierarchy of research services will be developed wherein the Library will have a core research element that works in conjunction with other Library offices and staff and, as needed, outside consultants to provide services and products for a fee. It is proposed that the NCRA be established as the Library's sole fee-for-service element providing translation, research, and analytical services. The proposed NCRA will incorporate the functions and staff of FRD that will have been redirected from exclusively foreign area studies to provide analyses also of U.S. domestic subjects. The classified research now carried out by FRD will be replaced incrementally by new programs based strictly on the Library's collections and other unclassified, open-source data, without disruption of the current staff or loss of hard-to-recruit subject and language expertise. Serious consideration also should be given to consolidating the Library's other long-term research programs supported by fee-for-service funds, such as the Science and Technology Division's cold-regions bibliographic work, within the proposed NCRA.

There are several options in developing the structure and size of the NCRA. It might, for example, have a small managerial staff overseeing fee-based research conducted in other parts of the Library or by contractors. In this mode, the NCRA would function as a product reviewer and contracting agency or broker. A second mode would be an organization with a slightly larger managerial-overview staff and a small core staff of in-house researchers and translators supplemented by researchers and linguists in other Library elements and by contractors. The third mode is an organization offering a full range of research, analytical, and translation services performed by a moderately large in-house staff supplemented occasionally as needed by other Library staff and contractors. The third model is considered desirable because of greater continuity of staff, concentration of research and translation expertise, and lessened impact on other Library elements. As is appropriate and more efficient, however, the staffs of other Library elements, particularly the special collections and area studies divisions, will be closely consulted with to produce fee-based products. When necessary and so as to not interfere with the routine work of other Library elements, budget transfers or overtime funds will be made available to staff members in other Library elements to accommodate the external research needs of NCRA clients. In the third mode the NCRA would have three branches, one to provide foreign area research and translation services, another to provide domestic research services, and a third to provide general research and translation support. Each substantive branch will have several sections based on geographic or subject expertise and personnel will be highly interchangeable to allow effective use of subject expertise and foreign area and language capabilities. Additional sections and units will provide production quality control and support services. In any of the modes described, it is envisioned that the NCRA will be located in one the Capitol Hill buildings of the Library of Congress.

The size of the NCRA will have some bearing on its physical location within the Library. It is strongly recommended that the NCRA staff be located in one or more Capitol Hill buildings so as to be close to the collections in which it daily conducts its research, is in close proximity to professional colleagues in other Library divisions, and has the full range of Library services immediately available. A small or medium staff could be collocated in one building; a large staff might have to be located in one or more buildings. The issue relates also to the Library's long-term consideration of relocating away from Capitol Hill those functions of the Library which do not require their staff to be in close proximity to the collections.

The NCRA will provide research and analysis to government agencies and private-sector organizations similar in scope as CRS provides to the Congress. The NCRA, however, shall not be positioned in ways that might make it appear as an alternative research service to CRS. CRS will remain Congress' primary research arm while the NCRA, with the exception of congressional translations, will serve exclusively fee-paying users of the Library. It is conceivable, however, that the NCRA could be assigned an analytical research project by Congress should a needed expertise not be available in CRS but is available in the NCRA. Should such a task be assigned, it is anticipated that a fee-for-service would be charged either to CRS or to Congress and that it would be paid in a manner similar to when CRS or Congress contracts with an outside consultant. Analyses of legislation will remain the exclusive domain of CRS. The intent of the NCRA is to expand current Library of Congress fee-based service to better serve the legitimate research needs of non-congressional government agencies and the private sector. (Conversely, it shall not be within the NCRA's mandate, except as just note, to provide any research or analysis to Congress. Its service to Congress will be restricted to language-related support activities. Other than the Language Services Section, it is not envisioned that any other CRS unit or function would be reassigned to the NCRA.) As is appropriate for the national library, the products of fee-based services shall be factual, objective, and impartial, and modeled on the non-advocacy style used by CRS and FRD

Should the Library acquire the extensive science and technology collection of the National Translations Center at the University of Chicago, it is proposed that it be placed administratively, if not physically, with the NCRA. Inclusion of this collection--which is served through fee-paying mechanisms--as an entity within the NCRA is an important ingredient in the proposal to consolidate the Library's language and translation services. First, translation services per se, now located in FRD and CRS's Language Services Section, would be amalgamated and supported with appropriated funds. Requests made by Congress and others for translations that are now fulfilled by language-qualified processing and reference staff members would be responded to by NCRA staff instead. Second, the proposed foreign-language bibliographic citation file would be maintained by the NCRA. Full translations of items listed would be offered free to Congress and for a fee to others. Third, the NCRA would establish a translation tracking service, the foundation of which could be the service now offered by the National Translations Center. It is envisioned that the consolidated language and translation services in the NCRA would reside administratively within an expanded National Translations Center.

A marketing unit will be established to conduct routine market surveys to determine potential clients' research needs, and to investigate what initiative research might be undertaken by the Library for the purpose of developing product lines, such as series of serial subscription publications of broad interest to national consumers, especially those in the science and technology and business and industry communities. The marketing unit also will prepare grant applications, coordinate feasibility studies, and respond to U.S. Government Broad Agency Announcements and private sector requests for proposals. Marketing specialists, in conjunction with other managers and specialists will develop research service guidelines and strategies. Marketing specialists will assist the NCRA contract officer in negotiating support agreements between the Library and prospective clientele. Occasionally, market research seminars or conferences may be held to determine the information and research needs of potential Library clients. A major goal of the marketing unit and other managers will be to develop a broad, diversified portfolio of services offered and clients served.

It also is recommended, as suggested by members of the National Advisory Committee, that an advisory council of representatives of government and the private sector be established to advise the management of the NCRA on questions of policy and guidelines, setting of fees, and other issues of potential sensitivity.

2. Funding: Fees charged for Library research services will be based on a standardized schedule of fees and delivery dates. This may require congressional authorization and new legislation. The terms and conditions for research and analytical assignments will be negotiated with prospective clients and the nature of the assignment shall be as specific as possible pending the actual start of work and the inclusion of mutually agreeable modifications. Issues such as fees and disbursements, terms of payment,

payment for travel, liability, insurance, liaison, and project termination shall be addressed in the formal document of agreement or contract. When needed, staff experts will participate in negotiations to help clients define their requirements and so arrive at agreed upon objectives. ISIS or a comparable tracking system will be used as part of the contract monitoring process.

The Library will charge fees that recover the direct cost of research and product delivery plus overhead, in an effort not to compete unfairly with the private sector (either private research firms, free-lance researchers, or academicians on contract). The Library, however, as a publicly supported entity, should not set fees so high (that is, equal to or greater than those charged by private sector research forms) as to place its fee-based services beyond the reach of other tax-supported and non-profit organizations and individuals. It is imperative that efficiency in accessing Library collections by in-house staff researchers be matched with cost effectiveness. As noted by some members of the National Advisory Committee, the Library must be unambiguous in establishing fee-for-service policies and bold in widely offering such services.

In no way should it be construed that the charging fees for research services will impede free access by individual researchers or large public or corporate users of the Library's collections. Such free access will be encouraged and preferred. Only when the user--an individual, government, or corporate entity--elects to pay for research services or is informed that access requirements are likely to place an unacceptable financial or time-consuming burden on the Library, thus requiring agreed-upon compensation, will a Library user be encouraged to seek the services of the NCRA. Carefully designed guidelines must be developed to aid the Library staff in determining when it is appropriate to inform a user that they might be better served by the Library's fee-based services.

A reasonable percentage of operating costs will be channelled back into basic library services, thus further facilitating the research process. Such benefit to other Library programs (including funding for special staff positions), would accrue through the contribution made to the Library budget via charges levied by the Administrative Working Fund. Such distribution of funds will be done in a manner that does not necessarily benefit only frequently sought fee-based services. Basic services throughout all parts of the Library will be equitably supported from fee-based profits.

Funds transferred from Federal Government agencies--under the Economy Act of 1932 (31 U.S.C. 686)--and grants or fees paid by other governments and public and private sector organizations for services and products--under the auspices of the Gift and Trust Fund Act of 1925 (2 U.S.C. 160) or relevant existing or future legislation--will be the main source of support for the NCRA. It is desirable, however, that a congressional subsidy be provided to sustain at least part of the core staff on a permanent basis. Creative means must be developed--a revolving fund, "no-year money," or an endowment fund--to ameliorate the effects of periodic funding shortfalls on staff continuity. By establishing a long-term and stable staff, the Library will be better able to place its collections at the disposal of the nation's fee-paying users. Thus, to insure long-term continuity of service to the Congress and the nation, a request for appropriated funding will be made to Congress, set between 20 and 30 percent of the estimated annual budget, taking into consideration anticipated fluctuation in the outside generation of funds. In return for this support to the NCRA's budget, Congress and CRS will be provided the foreign-language-related services mentioned above (see Services Offered). Reimbursement to other Library divisions providing research and language assistance to the fee-based research programs will be made by the NCRA through internal budget transfers or, when needed, by overtime payments

Should Congress not endorse a renewable, direct appropriation for the NCRA, in addition to the amount needed to fund language support, the Library should be prepared to exercise several options. One would be to request from Congress a scheme of phased-out appropriations correlated to an increasingly self-sustaining external income over a two-to-four year period. Another option would be a request for a one-time, non-renewable appropriation that would be used to pay for necessary start-up costs. Should such an appropriation be insufficient or not forthcoming, the Library should consider establishing a flexible, cooperative arrangement for permanent staff members in other divisions of the Library to offer their expertise to fee-paying agencies and organizations through the auspices of the NCRA (see Staff Research Opportunities, below). The NCRA would continue to be the sole fee-for-service element in the Library and would be aided in its efforts through direct financial contribution to management and staff positions via the Administrative Working Fund.

3. Staff Research Opportunities: Several initiatives will be taken which will make full use of the broad expertise of Library staff members in serving consumers of fee-for-service Library research information, as well as promote internal staff development. While the core staff of the NCRA will provide project administration, translation services, support services, and research on general, broad topics, other Library staff members will be given opportunities to conduct research related to their special expertise as required by fee-paying clients. Details and rotational assignments of qualified staff members from throughout the Library will be made periodically to serve the needs of the Library's paying clientele and, at the same time, to enhance career development for participating Library staff members. The mechanism of paid sabbaticals for Library staff members might also be considered as an option for temporarily placing individuals in the NCRA to work on cooperative research with outside organizations. Library units loaning the services of their staff would benefit from the arrangement not only through the heightened morale of the staff member allowed to conduct research in his or her chosen specialization, but also would accrue funds raised through the NCRA which would be reallocated in support of basic services.

Additionally, intern programs will be established for training researchers, as well as attracting prospective personnel, in a wide variety of research and application areas, such as foreign-language resources, research methodologies, and so forth. FRD's current Foreign Area Associates Program and other Library internships may serve as models for such an initiative.

As permitted by Library regulations, the expertise of retired staff members may also be tapped, and their services compensated for, in carrying out fee-for-service requests. To help identify the expertise of staff members and to facilitate speedy research referrals, the online personnel data file now under development will be widely used.

4. Technical Resources: In addition to immediate and complete access to the unparalleled collections and online data bases of the Library, the NCRA will subscribe to national and international information retrieval data base services, thus extending its research services to collections and information systems beyond the physical confines of the Library. Similarly, the NCRA will cooperate with the Loan Division and Photoduplication Service (or their successors) in national and international Email systems for rapid receipt and delivery of short-term and ad hoc queries and responses. Facsimile document delivery also will be employed and products will be offered in a variety of traditional and automated formats. As recommended in another MAP suggestion on establishing an electronic journal or bulletin board, selected research products of the NCRA could be disseminated nationally through such a medium.

Subject: Visitor Services

DOC 75

I. Statement of Issue

For purposes of this document, "visitors" are defined as persons who come to the Library for reasons other than to do research. Some of the many types of visitors are listed below. An examination of visitor services was prompted by the large number of comments made about problems such as overcrowding of the cafeteria, delays in using the Madison Building elevators, and unsupervised school age persons wandering the halls. Such comments were made to the MAP suggestion box and in general brainstorming sessions with Library managers. They all seemed to be related to internal administrative services such as buildings management and police.

After consultation with some of the offices charged with handling visitor services, however, it became apparent that these problems were symptoms of a more important problem for the Library: the need for a well-coordinated, well-defined, written policy for dealing with visitors. Other symptoms mentioned were that limited information services are available at entrances to Library buildings; that all information services on evening and weekends must be provided by the Library Police, who are neither recruited nor trained to perform this function; that there is a general lack of signage to assist and direct visitors; that only a very small percentage of the Library's many visitors are given any kind of a tour; and that our only orientation program (the slide show in the Jefferson Building) is about 10 years old and is often out of order.

II. Analysis

The Library must decide whether it wishes (1) to consider services to visitors as a secondary aspect of its mission and therefore provide only the minimal necessary services or (2) to consider the presence of visitors as an opportunity to fulfill a major part of its mission and to provide a full range of services to the various classes of visitors who come here. In either case, a well-coordinated, widely known policy is necessary because of the large number of visitors that come to the Library each year. A central problem in this area is the many different types of visitors to the Library, including bus tours, people who come to see specific exhibits, individuals with an interest in Library architecture, librarians and others with a professional interest in the Library, and users of Library facilities such as the cafeteria, restrooms, and air conditioning. Some are potential users of Library reference and other services, some are not. A general policy should take this into account.

The offices responsible for the provision of visitor services will inevitably have responsibility for implementing any actions that are taken to address this problem and will be accountable for the results. They should be fully involved in the development of any implementation plans based on recommendations made by the MAP Committee.

III. Options

A. Establish a policy in which the Library considers the presence of visitors as a primary opportunity to fulfill its mission and provides a full range of services to the various classes of visitors who come to the Library. Actions taken as a result of this policy should include the following.

(1) Definition of public spaces open to tourists and other casual visitors, with (a) signs directing such persons to those parts of the Library that are open to visitors, such as the Great Hall, exhibit areas, the gift shop, the cafeteria, or other spaces, and (b) signs in <u>all</u> other areas of the Library,

stating that the areas are only open to staff, researchers, and others with a need to be in the area.

(2) Improvement of coordination between the areas of the Library that deal with visitors (especially the Educational Liaison Office, the Information Office, the Exhibits Office, the Retail Marketing Unit, and the Library Support Services Office) to ensure that decisions about visitor services are not made in a vacuum. At present such coordination seems to be minimal.

(3) Creation of a system for determining the specific needs/interests of the various types of visitors and guiding them as appropriate. This should include staffing of information desks at the entrances to the Jefferson and Madison buildings during all public hours, including evenings and weekends.

(4) Establishment of tours which are tailored to the interests of the various types of visitor, including regularly scheduled general tours for the casual tourist/visitor.

(5) Creation of orientation exhibits and other programs which attract the casual visitor and create an interest in the programs and services of the Library.

B. Other actions and services, as appropriate. The implementation of this policy will require extensive commitment of resources and take many years. However there will be substantial benefits, such as improved control of visitors, decreased pressure on other Library administrative services, improved public relations, an increase in the Library's constituency, and an increase in general knowledge of Library services. It may, in the long run, increase the number of people who use the Library as a "library of best resort."

IV. Recommendation(s)

Option B.

V. Additional Information

The following comments represent some of the information gathered in the process of developing this document and should be considered in the development of implementation plans.

A. Jefferson vs. Madison Building as a focal point for visitor services: Current plans in the works seem to envision the Madison Building as the focal point for visitor services. In discussions with the offices involved in these services and within the subcommittee there was a good deal of feeling that the Jefferson Building is the logical focus for visitor services, since it is the attraction which draws the majority of casual visitors. On the other hand, it has been emphasized that casual visitors in the Jefferson Building can cause a lot of problems with the delivery of assistance to researchers in the reading rooms. There is a need for visitor services in both Jefferson and Madison, and these concerns should be taken into account in deciding the eventual location of orientation exhibits, sales areas, and so on.

B. Use of volunteers for provision of visitor services: Volunteers should be considered as a resource for staffing of information desks and tours. However the offices which provide these services wished to emphasize that the training and coordination of large numbers of volunteers (such as would be required if Option B is chosen) require staffing resources that are currently not available.

C. Foreign language services: Although the Library currently provides some services to non-English speaking visitors in the form of specially arranged tours given by Library staff and some brochures for use at information desks (when staffed), there is very little assistance available for the casual visitor who does not speak English. One aspect of Option B should be the availability of better foreign language services (especially in Spanish), including signs, printed information, and verbal information.

D. Role of Library Police in providing information at entrances: One way of handling information services at entrances to the buildings which has not been given as an option is to increase the role of the Library Police. This would require extensive training and have a negative impact on the ability of the police to provide security and control. In discussions with offices who provide visitor services and within the subcommittee there was little interest in pursuing this optio

E. Advertising and public outreach. The general feeling of the subcommittee and of providers of visitor services was that the Library should target advertising and publicity to specific interest groups rather than create a general advertising program encouraging the casual visitor. Examples would be publicizing of specific exhibits, specific Library reference and research services, preservation activities, and so forth. There was also a feeling that preeducation for visitors would be a valuable part of a public outreach program. This could involve provision of information to private tour guides, improved information for scheduled groups, information in publications aimed at primary and secondary educators, and so on.

F. Security for areas off-limits to tourists and casual visitors. By specifically mentioning improved signs as a part of both options, we do not mean to preclude other approaches to improving the security of off-limits areas. These could include physical barriers (such as doors and locks), placement of security or other staff at entrances to such areas, wearing of ID badges by all Library staff, or other solutions. We have not discussed such specifics in this document, feeling that they should be developed as part of an implementation plan and in consultation with the committees that are already looking at security in the Library.

DOC 76

Subject: Communication with a General Audience

I. Statement of Issue

The Library's communication with general audiences is not as well coordinated as it could be. The ways in which various media might be used to reach various audiences has not been fully refined. Except for the Center for the Book's production of "spots," little use has been made of broadcast media. The institution's ability to exercise a leadership role requires that its identity and a context for action be better established--in effect, the Library must clarify and strengthen the way it is perceived by the nation.

II. Analysis

Communications in the broadest sense will make a major contribution toward establishing an identity and context for the Library. Well-executed journal articles, television broadcasts, books, and traveling exhibits will build good will and public support. The best "public relations" consists of transmitting interesting ideas and associating those ideas with the Library. Public relations in the customary sense, although a necessary part of the communications stream, will never have the positive educational and image-building effect of interesting content presented in an interesting way.

Improvement in the sophistication and coordination of communication is as much a matter of stance and thinking as it is of carrying out any particular project or operating any particular office (see Section V below for a discussion of the matter).

III. Options

As outlined in Section V, the most important action is for the Library to improve its general oversight and coordination of communication. In addition, the following particulars (also described in the attached paper) have been highlighted as individual action options:

A. Increase activity in the area of broadcasting, largely through joint ventures. After executing pilot projects, find a place in the institution where major broadcasting initiatives can be managed.

B. Form an associates or friends group; seek professional guidance on the details.

C. Increase attention to the accommodation of tourist visitors. (The issue statement on this topic, "Visitor Services" [DOC 75] offers an excellent analysis, and should be implemented. See also "Establishing an Education and Visitor Services Office" [DOC 77]).

D. Continue to refine and improve the handling of day-to-day public and press relations by instituting a recommended procedure for "damage control" against "bad news stories," and by increasing the resources and efficiency of the Information Office.

E. Invigorate the traveling exhibit program.

IV. Recommendations

Increase the general level of communications activity by increments spaced over a reasonable period of time, ensuring coordination and oversight to the greatest degree possible. Over time, proceed to implement A, B, C, D, and E, and other new initiatives.

V. Additional Information

The Library has a number of purposes for communicating with the American public, a number of messages to send, and a number of vehicles or channels through which to communicate. At the broadest level, the Library should contribute to the education of the public, using such devices as journal articles, television broadcasts, books, or traveling exhibits. In doing so, it will establish its identity in the public mind and build good will and public support.

The best public relations is accomplished by communicating interesting ideas and information and by associating those ideas and information with the institution. Of course, there is a need for presentations that directly answer the questions "What is the Library of Congress" and "What can the Library do for me," but such presentations (public relations in the customary sense) do not have the positive educational and image-building effect of interesting content presented in an interesting way.

The content of general audience communication will include a wide range of subjects and offer a broad and plentiful range of ideas to the public. To the degree possible, however, the presentations as a group should express two important and related themes: the contribution of scholarship to society and, recognizing the Library's role in government, the relationship between ideas and the democratic process.

How would this work? To take a particular example: imagine an article or television program about an episode in American history. Could it not inform its audience about how historians gained their insight into the episode as well as explaining about the event itself? The presentation's narrative would parallel that of a program in which viewers learn about the methods of geology at the same time that they are taught the dynamics of a volcano. Here is another variation: published research based in or about the collections. In short, continue (and increase) our own "doing of scholarship," and tailor some of the resulting products to a educated general audience.

A thematic emphasis on the contribution of scholarship to society will inform the public of the value of scholarly research. Thus the Library will increase public appreciation for research and public support for libraries, archives, universities, historical organizations, and similar institutions. Of course, this is not a cause-and-effect relationship; no immediate gains will follow the first programs. But over time, the institution's visibility will increase.

The Library should transmit several additional messages, some of which are related to the larger themes identified above. One has to do with increasing reading and heightening respect for books and libraries. In addition, from time to time, the Library should find ways to state its position on selected aspects of public policy, including freedom of information, the use of acid-free paper in publishing, tax laws as they pertain to donations of valuable collections to public institutions, and the fair use of copyrighted materials in a library setting. In doing this, of course, the Library must beware of politicizing these issues or of stating things in a way that makes the institution vulnerable to damaging criticism.

In its communication with a general audience, the Library should seek to make clear that its facilities are designed to accommodate particular types or levels of research. When possible, communication should reinforce a viewer/reader's sense of the variety of America's libraries and the importance of selecting the right place to work. In any case, while boosting the Library's image, there should be an avoidance of the statement, "Everyone should come to America's library."

<u>Coordinated Communication</u>: A coordinated approach to reaching a general audience means

that Library must balance its various messages and communications channels. There is always a risk that persons who are keen on one element--say, a journal for scholars--will examine it in isolation from other elements. One useful way to achieve balance is to look at the size and character of various audiences and devise an overall program for the broadest impact.

One practical balance would be as follows:

(1) Television spots (like those produced through the Center for the Book) reach a very large group of people with tremendously varied backgrounds and interests.

(2) Occasional or intermittent radio or television programs (produced with genuine input from the Library) carried by public broadcasters would reach a large audience.

(3) A journal or journals to reach a core group of scholars, educators, and other opinion leaders.

The Library's communications program has more or less followed this formula in years past. But the formula and its execution has been implicit rather than explicit, and has never been fully realized. If fully carried out, the results would be very effective. Such an approach would also take advantage of prior experience and make only a moderate demand on resources.

Alternate formulas might also be considered, but they would represent a greater departure from past practice and require far greater resources. For example, the Library might attempt to reach a large audience through a popular monthly magazine. Or, we might participate in the production of a regularly scheduled television series.

Reaching "the Million" through Broadcast Television Spots: The Center for the Book has provided the Library with an excellent model for cost-efficient outreach through "Read More About It," "It's a Fact," and other spots produced by (and paid for by) national commercial television networks. These spots achieve the goal of helping raise consciousness about books, libraries, and literacy, and thereby improve awareness of the Library of Congress as a leader. This program of broadcast spot production should be continued, and expanded if possible, allowing for cooperation with other Library units that may have messages than can be sent in the same way. In a conversation on this matter, one member of the National Advisory Committee suggested the theme "I found it at the library!"

Reaching a Large Audience through Broadcasting: Communication with an audience numbering in the hundreds of thousands can be achieved through broadcast media. The Library should forge cooperative arrangements with broadcasters and seek corporate or foundations underwriting for each venture or program series. Public broadcasting comes to mind more quickly than commercial broadcasting in the consideration of this matter; there is a sense, however, that Library messages on public broadcast outlets represent "preaching to the converted." Insofar as possible, the Library should also seek outlets in the commercial arena. (One avenue suggested by a National Advisory Committee member was the variety of local and national talk shows; many Library staff members or researchers working at the Library would make excellent talk show guests.) There is no harm, however, in reaching the opinion leaders who comprise public broadcasting's audience.

It is worth emphasizing again the distinction between programs "about" the Library and programs "from" the Library. For comparison, consider the types of print materials that have most often been produced by the Information Office--they tell people about the Library and its services. In contrast, the print materials typically overseen within the Publishing Office are from the Library and about a specific topic. (The distinction holds even in cases of publications about collections--the collection and its content are the subject matter, not the Library proper.)

An analogous distinction should be made in the case of broadcast programs. One might look to the Information Office for programs about the Library. But there is no analog to the Publishing Office; that is, there is no office to manage broadcast initiatives from the Library. Pilot broadcast efforts could be done with ad hoc planning groups, but the future management of broadcast projects from the Library will probably require the expansion of an existing division or the establishment of a new unit. A consultant is drafting a report on this subject that should provide useful advice to guide planning.

Periodicals: Here, the MAP Committee found itself hard put to make a recommendation. Like most of the rest of the Library's staff, the MAP group included spokespersons for several equally appealing possibilities. Some argued in favor of a quarterly or monthly periodical for opinion leaders and scholars. Others pointed out that the field of such journals (ranging from the Wilson Quarterly to Atlantic) is crowded and that it may be hard to find a market niche. Some proposed an emphasis on "targeted" periodicals, limited by subject matter and aimed at specialized segments of the opinion leader-scholarly readership noted above. For examples, see the Library's Folklife Annual or Performing Arts Annual. Additional topic areas might be identified and added, and each item might be published on a quarterly basis.

The third alternative is a mass circulation magazine (the Smithsonian model). The proposals in the preceding paragraph could be accomplished with relatively modest start-up costs compared to the very high cost of a this third type. The ongoing promotion and production expenditures for a mass-circulation monthly would be in the millions of dollars, hopefully offset by advertising revenue. In general, the MAP Committee linked the mass circulation magazine with the proposals for an Associates or Friends group; the two work together, but not separately.

A well-known principle holds that a periodical (or any item of communication) should be tailored to the desired audience. It is worth noting that the diversity of opinions about a type of periodical reflects a diversity of opinions about audience. In fact, this may be an area in which all answers are "correct," and the matter should be decided on the pragmatic grounds of cost and capability. A group of special consultants are drafting a report on possible Library periodical and their findings will shed additional light on this subject.

A good case can be made for increasing Library publication in periodicals produced by others. Library staff specialists could be offered opportunities and/or inducements (free time, revised position descriptions and evaluations, and so on) to write articles. The institution collectively might be able to offer a monthly column to, say, American Heritage. If "research centers" are established (see DOC 90), the scholars who work there could be asked to produce articles for publication.

In one MAP-sponsored discussion with the Librarian, the talk turned to the matter of "synthesis," meaning writings that cross disciplinary and traditional subject boundaries. Could a journal do this? Perhaps, but journals tend to be specialized or, if "general," tend to have specialized articles. (See, for example, Smithsonian.) The alternate idea presented on this occasion was that it might be the role of a book, written by a single author, that would offer a synthetic perspective. (See, for example, C. P. Snow's discussion in the 1960s of the "two cultures" of the sciences and the humanities.)

Reaching a Moderate Audience through Exhibits, Books, and Public Events: The Library already reaches a significant number of visitors and readers through its exhibits, publications, and public events. These activities should be continued and expanded.

One important way to increase national audience for exhibits would be an expansion and invigoration of its traveling exhibit program. The program should include major exhibits that would travel to important or prominent sites throughout the United States, while more modest exhibits would be aimed at libraries, historical societies, and even shopping malls. Modest exhibits could be produced in multiple editions in order to increase distribution. In time, the revenue from travel should pay the costs of the traveling program (not the initial cost of the exhibit itself). But seed money will be needed for the first few years.

In order to build a larger audience for books (and important microform publications), the Library should increase its copublications with university presses, trade book houses, and microform publishers. In these arrangements, costs are shared between the Library and the publisher (and occasionally have been paid in their entirety by microform publishers), and the Library will benefit from the outside organization's superior sense of the marketplace and well-organized distribution systems. Since works of high quality and with wide appeal are expensive, however, they will often require outside funds beyond those advanced by the Library and the publisher.

Both exhibits and books lend themselves to relatively modest project-by-project fund-raising. The Exhibits and Publishing Offices will benefit from a close working relationship with the Library's Development Officer.

Public events at the Library are sponsored by a variety of offices; notable are the Music Division's concert series, the Motion Picture, Broadcasting, and Recorded Sound Division's film screenings, the Poetry Office's readings, and the American Folklife Center's folk music concerts, symposia, and workshops. These offices' public events should continue and, in order to diversify the offering, other Library units should be encouraged to follow suit.

Most public events at the Library are professionally carried out, but occasionally the presentation falls short of an ideal. In order to enhance the general matter of presentation and in order to improve management of rooms and facilities used for public events, the Special Events unit within the present Educational Liaison Office must be strengthened. If an Education and Visitor Services Office is established (see DOC 77), an argument could be made for a separate Special Events Office. This office would have the authority to assist and guide all Library units in their planning and execution of public events and would have better access to or control over the facilities and equipment needed to make public events successful.

Associates, Friends, or a Foundation: If broad communications are carried out on a continuing basis, especially in the form of a periodical or television broadcasts, support for the activity could come from an organization of associates or friends. Such a group could be a constituency for scholarship and research institutions in society, thus helping the Library serve as a national leader for libraries and related institutions.

There are at least two categories of "friends": (1) a group of influential individuals and potential major donors and (2) a broad-based group of interested citizens. A subcategory of the first type would be a group of influential donors who might involve themselves in specific programs within the Library, like the suggested Centers for Research.

A group of major donors requires an elegant program and a number of perquisites. Members of such a group would receive the benefits also offered to citizen members of a broad-based group: a publication, discounts on merchandise (by mail or in shops), special programs or special announcements about programs, improved access to concerts and film screenings, and such new services as an online bulletin board.

A supplemental idea, suggested by the organization's chief officer, was to provide an administrative home for the Friends of Libraries USA (FOLUSA). This would give the Library a preexisting group and communications system, and provide a foundation for expansion.

In developing a friends organization, the Library should attend to at least two matters. First, a friends or associates organization may compete for members with existing groups like the Smithsonian Associates, the friends of the Kennedy Center, and similar organizations nationwide. Can we offer enough to attract members? Shall we worry about the potential for other organizations feeling that we are undercutting them? Second, the Library must find ways to prevent the Library's organization from proceeding in directions that do not assist the institution carry out its missions or from becoming an undue influence in the operation of the Library proper.

An alternative to the notion of a friends group would be to seek investors to support a for-profit corporation as was once suggested for the proposed LC magazine. The drawbacks are that aiding a for-profit venture is somewhat inconsistent with the Library's public position and, if revenues fell, the venture would fold.

Day-to-day Communications and Relations with the Press: The preceding topics have dealt with communications in which the primary content was something other than "the Library and its activities." Even if such communications are the most significant for of public relations, they are not in and of themselves the institution's presentation of itself. This presentation of self, in the form of press releases, broadcast programs, and the like, is the work of the Information Office (which might be better named something like the Public Affairs Office). This office also handles "news" (meaning, often, bad news) and press inquiries.

The need to be promptly and accurately informed about Library actions, ideas, and overall direction ("the company line") means that the Information Office needs direct and immediate access to the Librarian's office. Stories can be given a "spin" that reflects current thinking at the top of the institution. In cases of bad news, the close connection will help accomplish the most effective containment: sending the Library's version of the story to the press before they hear about it from someone else, thus avoiding having the Library take a reactive posture. It would not be a bad idea to have a recommended procedure for "bad news," and being sure that all Library managers are familiar with it.

Effective press relations depends upon a set of reciprocal relationships with the media and with individual editors and reporters. In part, nurturing these relationships requires the Information Office to try to do favors for the press--tracking down information, locating a book, etc. There is a risk of overresponding, however, and a risk of needlessly hurrying or distracting Library staff members from their regular duties in order to help a reporter. Guidelines are needed to help the Information Office do a better job of screening incoming requests and ensuring that appropriate assistance is offered.

The Information Office has little or no money to spend on public relations efforts. Not only does this mean that any serious "campaign" must be paid for with begged or borrowed funds, or by using donated services, but it also means that even small things like supplying publicity photoprints or video clips is beyond the office's reach. This injures the Library's public relations efforts; the Information Office should have money to help it in its work.

Subject: Establishing an Education and Visitor Services Office

I. Statement of Issue

The Library does not do a good job of accommodating the flow of visitors who come to the institution, especially the large number of school groups. In addition, the understanding and appreciation of exhibits and public events by school groups could be improved. The Library should be more helpful to education and educational institutions in a variety of small but important ways

Of course, it is not only classes of students who deserve a rewarding visit to the Library. The institution must provide all non-researcher visitors (most of whom are tourists) with hospitality and an opportunity to learn about the Library's work. Guided tours presently reach only a few visitors; many of the rest of wander the halls, relying on the Library Police and passers-by for advice and information.

II. Analysis

At present, functions to aid in this matter are carried out by the Educational Liaison Office, a small, overworked unit that also helps manage special events. Some of the office's activities are exactly the ones enumerated in the proposal that follows, but the office has never had the mandate (nor resources) to do all of things proposed here. One may also note that this office may not be the ideal location for the management of special events; perhaps education and special events are sufficiently distinct to require two separate units.

Educational and visitor programs cannot be done by an education office alone; they require the involvement of offices like Publishing, Exhibits, and many others. The contribution of the education office is in the area of central coordination and development. An Education and Visitor Services Office--presumably an expanded Educational Liaison Office--could provide this and other service. The following activities or programs would be among those undertaken by an Educational and Visitor Services Office.

(1) Oversee the general matter of non-researcher, tourist reception and hospitality, including tours (see DOC 75). Address the matter of setting up information booths. Continue to provide special reception services for VIP guests from the United States and overseas.

(2) Coordinate facilities and special programs for school groups that visit the Library. Consider developing special "discovery rooms" for education and special guided tours. This would be carried out in cooperation with the Library's Exhibits Office.

(3) In cooperation with the Library's reference staff, coordinate orientation and training classes for researchers who wish to learn how to make the most effective use of the Library collections.

(4) Assist in the preparation of items for public school curricula derived from (or associated with) Library exhibits and programs. Compare with the typical function of an Education Department in a museum. This would be carried out in cooperation with the Library's Exhibits and Publishing Offices.

(5) Offer support to departments or to individual units who wish to establish and operate intern programs and who may need support. When needed, support departments or individual units further their connections with scholarly societies that share topical interests. (Includes finding

meeting space when scholarly societies are in town; helping outside groups identify Library staff with shared interests, and so on). [The MAP Committee would like to take this opportunity to note the drastic shortage of meeting space at the Library. An expanded Education and Visitor Services Office will be in competition with many other Library units in the battle for meeting rooms.]

In advocating the carrying out of these activities, the MAP Committee wishes to note that the Library primarily exists to serve serious researchers. An increased role of service to educational institutions should not become the tail that wags the dog.

III. Options

A. Expand the present Educational Liaison Office along the lines indicated; consider the establishment of a separate special events unit.

IV. Recommendations

Option A.

Subject: Broaden and Rationalize the Library's National Library Service to its External Constituencies

I. Statement of Issue

Provision of LC services to researchers around the nation does not match the Library's contemporary vision of an appropriate national program. The Library has not matched its national service with the full capabilities permitted by modern technology.

II. Analysis

Since its founding, the Library has been unable to serve those distant from Washington in anything like the way it could serve those who were local and could visit the Library. When a century ago, the Library became the National Library this circumstance became all the more worrying, but the limitations imposed by the technologies of the day made the necessarily limited service tolerable. At the beginning of the 20th century, Herbert Putnam began a series of initiatives to render the Library a more truly national library. For example, he began printing and distributing LC catalog cards, and he established de facto standards for descriptive and subject cataloging. With the passage of time and the revolution in Library technology, new kinds of national service have become possible. These new technologies specifically include:

(1) cheap and speedy telecommunications requiring FAX machines, modems in microcomputers, and inexpensive long distance telephone services, including toll free number systems;

(2) high resolution optical disk systems usable for large scale image capture projects, video disk systems usable for storage or publication of large collections of graphic materials and accompanying soundtracks, and CD-ROMs usable for storing and publishing large quantities of text and smaller collections of images and sound; and

(3) computers large and small to help record, sort, refer, and track the large numbers of inquiries received by the Library.

The Library is not at present fully exploiting the opportunities offered by these and other new technologies.

III. Options

To serve the national constituency of researchers in a manner appropriate to the technology of the 1990s and beyond, the Library should:

A. Establish a central public inquiries unit using an automated tracking and control system through which all non-congressional, non-copyright, non-National Library Service reference correspondence and telephone requests would funnel. The new central unit would record and distribute both queries mailed or phoned directly to the Library and those referred to the Library through the national reference network. The Library would be a key node in this national reference network. The Library would help organize state libraries, major research libraries, regional consortia, and the like to forward to the Library queries they are unable to handle--an 800 number would permit forwarding of urgent requests at once--and the Library of Congress would direct to these same libraries queries received at the Library but best handled locally. The system would provide vital control functions by tracking fulfillment of requests and time spent by whom in doing so.

B. Investigate opening the Library's machine-readable files--that is, all those available in its public reading rooms--to as wide a community of researchers as possible. (See the Pilot Proposal [DOC 79] on this topic.)

C. Rationalize and enlarge the Library's scholarly publications and exhibits through focused series. Each series would relate to a single theme and would comprise a range of publications, exhibits, and other events and products large and small. These would be various in character but always link to the theme and to companion efforts.

D. Place on optical disk potential high-use, high-value collections that are logical units to facilitate access to their contents and make these materials more widely available around the nation, as envisioned in the American Memory program. Begin planning for even larger-scale conversion of Library of Congress collections to a machine-readable form that will be readily deliverable to the national community of researchers. Begin negotiation with publishers, the Copyright Office, and other relevant parties on the subject of copyright deposit of standardized print tape or other standardized machine readable versions of text.

E. Provide an electronic journal or bulletin board of international trends in research and publishing, incorporating reports of major Library acquisitions. The journal would receive its text from a variety of sources: staff specialists, most particularly those in the proposed National Center for Research and Analysis, but also area studies specialists, catalogers, and members of the Council of Scholars. The electronic journal could be offered as a dial-up service of the Library of Congress and/or accessed through utilities.

IV. <u>Recommendation(s)</u>

Implement A through E.

DOC 79

Subject: Remote Access to Automated Library of Congress Files

I. Statement of Issue

In every one of the 11 MAP forums held around the United States, the Librarian received requests for general access to the Library's online computer system.

II. Analysis

A number of the Library's files, available to Congress and users of the reading rooms, are distributed through tape services (MARC records). Efforts are under way to provide a tape distribution service of copyright records. Other automated files, BIBL and CG, are only available at the Library and at select sites outside of the Library (for example, NAL, the Supreme Court).

III. Recommendation(s)

Plan for and implement a pilot project to evaluate the desirability, utility, and feasibility of increasing online access to the Library's files. See Section IV below for more detailed information on this proposal.

IV. Additional Information

A. DESCRIPTION OF THE PILOT PROJECT: To provide online access at several remote "test" sites to the automated files currently available to users of the Library of Congress public reading rooms. The following would be available: The Multiple-Use-MARC-System (MUMS) and most of the Subject-Content-Oriented-Retriever-for-Processing-Information-Online system (SCORPIO), that is, the Library of Congress Information System (LOCIS), the Copyright History Monographs File (COHM), the Copyright History Documents File (COHD), the CRS Bibliographic Citation File (BIBL), the National Referral Center Master File (NRCM), and the Bill Digest files. For contractual reasons, the Pre-MARC files and Magazine Index (OSER) would not be accessible to off-site users.

B. PURPOSE: Individuals at MAP forums repeatedly asked to be permitted to use what members of the public can use, if they are fortunate enough to be able to visit the Library's reading rooms in person. This proposal attempts to be responsive to the widely expressed need. Online access to the Library's files indicated above would contribute to the effort to "knock down the walls" and increase and improve access to information. Such access would also increase the visibility of the Library of Congress with libraries and library users. The proposed pilot project for remote access to these files is designed to evaluate the desirability, utility, and feasibility of increasing online access to the Library from other libraries. Equally important, the project would also assist in assessing interest in the files, not presently available outside of the Library, in a variety of other formats (CD-ROM, 9-track tape, paper, fiche).

C. CURRENT STATUS OF ACCESS TO AUTOMATED LIBRARY OF CONGRESS FILES: MARC records on magne : tape are currently available for sale and are purchased by a number of organizations (primarily national libraries, profit and nonprofit/not-for-profit organizations, university, and research libraries). Some of these organizations have made the MARC records available on their computers with the capability for other libraries to access the data online (for example, OCLC). Production of MARC data on CD-ROM is presently under way; data in this format will be made widely available to libraries interested in this means of automated access over the next two years. Efforts are also underway to provide a tape distribution service of copyright records through the Cataloging Distribution Service and to distribute the Congressional Research Service Bill Digest through the Government Printing Office. The NRCM data is currently distributed through the auspices of the National Library of Medicine. The BIBL automated file is only available at the Library and at select sites outside of the Library (for example, NAL, Supreme Court).

D. ASSUMPTIONS: Congress would be willing to make generally available files created for its own use but at present available to the general public only on Capitol Hill. If Congress is unwilling to do so, the Automated Systems Office (ASO) could cheaply and easily render the BIBL and CG files unavailable to certain passwords.

Access to the Library's files would function primarily as a supplement to the resources of the test site libraries. Library of Congress files would be accessed in addition to the catalog or files of the site library not as a replacement for their catalog or files.

The test sites would have the necessary terminals and modems to access the Library's files. ASO has the ports for the communication lines. There would be no technical problems with accessing the files with non-Library of Congress terminals or microcomputers.

Requests for materials resulting from an online search of the Library's files would follow the same procedures currently in place for Library loan requests. The Library of Congress would continue as the library of "last resort" for interlibrary loans.

E. POTENTIAL TEST SITES: The pilot project should include only a few test sites. These sites might include different types of libraries, representing the "best potential" for use of the Library's files. It has been suggested that the following types of libraries be included:

- Local university library
- Distant ("remote") university library
- Research (nonuniversity) library
- Federal (executive branch) library
- State (with legislative library)
- Distant ("remote") federal library
- State (without a legislative library or a member of the Library of Congress referral program)
- Local public library
- Remote public library

Potential sites will be identified by Library staff and invited to participate based on such criteria as willingness to undertake costs associated with the project (staff time, communications, hardware), interest in the project ("enthusiastic" interest is critical to its success), geographic distribution of the sites, ability to evaluate all aspects of the test, and so on.

F. HARDWARE REQUIREMENTS: Access to the Library's automated files requires a terminal and modem at the test site. The Library would make available several ports to accommodate the incoming file searches of the test sites.

G. COSTS: The primary cost for the pilot would involve the communications line between the test site and the Library. The test sites as the receivers of the benefit would pay for the communication lines.

H. OTHER COSTS: There are a number of less obvious costs involved in the implementation of this project. These costs would involve, among other things, Library staff time spent in coordinating the development and management of the project. The review of site applications, the selection of sites, training at the Library of Congress or at the test sites in the use of the files, development of descriptive and training materials, identification of evaluation criteria, review and compilation of evaluation results, and ongoing communication with the sites (monitoring the status of the project, answering questions, troubleshooting) would be necessary.

Test-site staff time would be spent in training other local staff and possibly end-users in how to access and search files, in publicizing the files' availability, and in handling resultant users' requests for interlibrary loan material and for material available via facsimile transmission.

I. PRELIMINARY TIMETABLE FOR THE PILOT PROJECT: Although a more definitive and accurate timetable would be formulated as part of the pilot project's more detailed planning, a preliminary outline of the stages of the project includes the following:

(1) Identify staff to be included in the project's planning and management; assemble the team (1 month).

(2) Assessment of equipment/staffing requirements to support the project; development of evaluation criteria and tools; requisitioning of equipment; obtaining release of staff time to support the project; determination and notification of test sites; planning with test sites; development of training materials and/or provision of training (3 months).

(3) Use and evaluation of test sites; evaluation of impact on the Library's resources (9 months).

(4) Evaluation of responses to the pilot project by the test site and the Library; development of project report (2 months).

Total time is 15 months.

J. EVALUATION OF THE PROJECT: To determine the success of the project, the following items could be considered in the evaluation:

Cost of the project both in terms of funds and staff time (at the Library and at the test sites)

Training needs

Amount (level) of use

Kind of use (which files, what segments of the files)

Who are the users

Effect on interlibrary loan, including number of requests for telefax and electronic scanning of files

User satisfaction (reactions to the user interfaces, reactions to the user documentation, adequacy of the access points, response time, utility of the information, interest in continued access, support from the Library, and so on)

Downloading capabilities

During the pilot project, costs would also be evaluated to determine future charges should the service expanded.

K. IMPLICATIONS FOR THE FUTURE: If the pilot project indicates that online access has value, the Library could extend the access to other users on a fee basis. The impact on the Library's mainframe, its training and troubleshooting resources, and ongoing development and support activities, however, would probably be significant and thus deserves careful assessment before implementing any such extension. Access by online users, if this capability is implemented, would parallel the concept of a "protocol" for service to readers. It is important to note that there are options to online access if the participants in the pilot project indicate a strong interest in the data. The Library has a number of data distribution possibilities, including the CD-ROM and magnetic tape formats, which could be used to ensure widespread access to the information. The pilot project should examine interest in distribution in these formats as an alternative to online access to the Library's files.

DOC 80

Subject: Liaison to the Nation's Libraries

I. Statement of Issue

A concern repeatedly voiced at the Management and Planning forums and at the National Advisory Committee (NAC) meetings held over the past year was the need for a contact point to direct libraries to the office, division, or person best able to respond to requests for information or assistance. An integral concern, in many ways associated with this expressed inability to identify easily who or what area of the Library can provide the help needed, is the need for more understanding of what services we provide to the library community and guidance on when to access these services.

II. Analysis

Though not formally recognized as the "national library," the Library has functioned in this role for many years. In fact, substantial resources have been allocated to the development of products and services that can be used by other libraries to help them meet the needs of their users. While the Library is perceived as being a valuable asset to the nation and a source of support to the nation's libraries, a lack of understanding has been expressed about the services available as well as how and under what circumstances they should be accessed. Specifically:

A. A clearly defined and coordinated program for national library service does not exist. Because of the enormous size of the organization and the variety of activities that occur here, each department has, in many respects, its own program of service to the nation's libraries.

B. The Library's structure and activities are not well understood. The parameters for participation in or access to the programs, services, and collections are all too often not widely known to the target groups they are designed to serve. The Library has not done a very good job of publicizing its services and resources, nor has it helped the libraries of the nation get easy access to them (even when the usage would be "appropriate"). For the most part, the Library has concentrated on getting out specific information on a particular event, acquisition, and so forth. National programs, services, and the collections are not exploited to their fullest potential.

C. Individuals from libraries who are not sure exactly whom to contact for assistance are frequently passed from one to another area of the Library. Though the information is frequently obtained, the process of getting it is a time-consuming chore.

D. While seen as an asset to the nation, in many instances, this seems to emanate from general "good will" based on the Library's long and illustrious past.

E. Large-scale direct contact with the nation's libraries has shifted from the Library to the bibliographic utilities. The reduced direct contact and the lack of knowledge of the Library has combined to make the institution seem more distant, more specialized, and less relevant to other libraries.

F. While staff experts and library scholars have been used to provide assistance, training, and so forth to other libraries, it has been in response to specific requests and not as a result of a broader program for training and consultative services.

III. Options

To revitalize the role of the Library in its relations with other libraries, to make its programs, services, and collections better known, and to make greater use of its staff experts and library scholars, the Library should:

A. Develop an organizational focus, such as a Library Liaison Office. A primary responsibility would be to act as a focal point for libraries who do not know whom to contact for assistance. The office (or some such entity) would not only ensure that libraries were able to "get to the right place in the Library of Congress" for assistance, but would also follow-up, at least on a periodic basis, to verify that the requested information was obtained. Other responsibilities might include monitoring trends in library and information services, providing summaries of these trends, and identifying opportunities for a stronger role in working with the nation's libraries, which could be used in the strategic planning efforts of the Librarian and management. The international library services, described in another MAP recommendation, would be a part of this liaison effort.

Pro: A point of contact would be established. This point of contact might result in staff savings by more effectively directing queries. There would be a focus for monitoring developments in the library community.

Con: There might be confusion about when to contact Library Liaison staff instead of going directly to the individual who can answer the query. The role of individuals assigned this responsibility versus management's role in providing services to libraries would require clarification. There would be additional costs for the staff providing this service.

B. Develop a strategic plan for the Library's programs and services to libraries. This plan, an outgrowth of the Library's overall mission, goals, and objectives, would identify appropriate national forums for participation (and leadership) by the Library, target opportunities for national involvement (reflecting trends in library and information services), and include the prioritization of Library resources for the provision of programs and services. The strategic plan could be drafted by the Library Liaison staff for review and approval by the Librarian and management or the Liaison staff could provide assistance as needed to the strategic planning efforts.

Pro: There would be overall coordination of the planning for these services.

Con: Coordination and awareness of a diversity of activities occurring in the Library would be necessary. This could be difficult to achieve. Management might perceive the Library Liaison staff's role in this activity as infringing on their prerogatives or as an impediment.

C. Make its services to the nation's libraries more widely known. The methods used in communicating programs, services, and products available from the Library should be reexamined. A strategy for better publicizing the Library's services to other libraries is needed. As part of this strategy, effective exhibits for conferences should be designed and materials providing overall and specific information on the Library's services should be developed. The materials would include information not only on how to access services, but also when to access them. Since various divisions sometimes develop their own brochures or handouts on programs offered the Library Liaison staff could coordinate their "informational materials" efforts with the efforts of these divisions. More effective distribution mechanisms for the materials are also necessary and should be part of the communication strategies developed. An increase in travel funds for attendance and participation at professional conferences and meetings should be solicited.

Pro: The national role of service to libraries would be clarified. The resources of the Library would be used more effectively and appropriately. The "vitality" and leadership of the Library would be enhanced.

Con: Demand on the Library for its services to libraries might exceed the capability to meet it.

D. Expand the training programs and provide consultation services for the national library community. These programs and services should be based on the needs of libraries matched to the ability of the Library to meet those needs. Training programs and consultation services should not be developed which are available from other sources. Library Liaison staff would work closely with management on the initiation of new programs for training and consultation services and on the coordination of programs already in place. They would have the primary responsibility for the development of a training program/ consultation service strategic plan and for ensuring that it reflects the overall mission, goals, and objectives of the Library. Library Liaison staff would coordinate the evaluation of the success of these endeavors with both the customers and the trainers and consultants, and would modify the programs and services to keep abreast of changing requirements. Training programs and consultation services would be launched in stages to increase the chances of success and help ensure that the demand does not outstrip the Library's ability to meet it. Materials developed for the training programs and consultation services could be made available for sale to any interested libraries, and fees would be charged for the programs and services.

Pro: The training and consultation services offered might be the source of additional revenue for the Library. Working with other experts, library scholars, librarians, and so forth would be an opportunity for professional growth.

Con: Given the expected investment in the development of training programs and consultation services, additional staff would be required to offer the programs or services or to relieve staff involved in them. A staff expert might not necessarily make a good trainer or consultant. Training on "how to train" and "how to consult" would probably be necessary.

IV. Recommendation(s)

Implement A, B, and C. Implement D as time and resources permit.

DOC 81

Subject: **Research on Library and Information Science and Research on Bibliographic Data or Catalogs**

I. Statement of Issue

Research in the field of library and information science is relatively new (and limited) compared to the research which has occurred in the other applied sciences. With the exception of preservation, the Library has performed little research of its own. A significant investment has been made in the automated Library catalog, but the design of the system seems to reflect deeply ingrained ideas that have survived from the era of printed cards rather than end-user needs wedded to a full exploitation of the capabilities of automation. As a result, neither the structure of the information nor the search systems are perceived as being user-friendly. More research on the processes used by scholars to obtain information in the library environment is necessary as well as the application of this research (and other existing research) to the design and modification of the services. It is not clear that we are meeting the needs of the scholars and researchers who use our collections, catalog, and staff.

II. Analysis

Through its program for the distribution of catalog cards near the turn of the century and the development of MARC format in the 1960s, the Library assumed a preeminent leadership position in the area of bibliographic record creation and distribution. This position of leadership was reinforced by the Library's focus on developing cataloging standards, disseminating those standards, using standards in bibliographic record creation, and, as noted above, distributing bibliographic records. While recognizing the value of the Library's efforts in cataloging and the support of cataloging standards, there have been a number of concerns expressed:

A. The bibliographic information needs of the users have not been fully assessed. While there are rules used for cataloging, Library of Congress interpretations of those rules, other procedures specific to a Library division or process, and so forth, the benefits to users of all of this effort are not entirely clear. What are the components of a catalog or bibliographic record most needed by a user? Are the data elements now included in a cataloging record necessary? Is there information currently not provided which might be more useful or more important? What information is this? Are cataloging rule interpretations necessary? How can the record's components be made easier to comprehend?

B. There is a tremendous investment in automated systems for bibliographic data creation and retrieval in the Library. Development of new systems and enhancements to current systems are based on the standards and processes in place. Many of these standards and processes were, in turn, based on an effort to translate the cataloging methods necessary for a card environment into an automated environment. These systems do not, as a result, necessarily reflect end-user needs nor a full exploitation of the opportunities available in an online environment.

C. Since any major change to the structure of the catalog record would have an impact well beyond the Library, how does the investigation and implementation of these changes proceed? How does the Library build support for these changes among the national library community, especially if they are radical or major?

The Library has not examined the needs of the scholars and researchers designated as a primary constituency for its services. As a result, the Library does not know how well these individuals are being served by the existing services, whether services may no longer be needed, whether there are new services that are more important than existing services, whether there are services that are so important and essential that they should be implemented in addition to those services already available, and whether we are truly furthering the cause of scholarship and research with our current methods of operation.

III. Options

Research on library and information science would further the Library's effort to increase access to new developments in the sciences, industry, and so forth, and thus assist the nation in regaining a competitive edge. Since this research would not only be helpful in enhancing the efficiency and effectiveness of the Library's operations but also in improving national library service, the Library should:

A. Implement the concept of a National Center for Catalog Research (see DOC 37 and DOC 82) with the following points emphasized:

(1) Both "adjustments to existing systems" and "radical changes" should be a part of the research program. Catalogs should be seen as tools for effective information access and service first and foremost.

(2) The center should be located on "neutral ground" and not within the areas of the Library responsible for information service, cataloging, and automation. Projects should, however, employ a matrix structure to take advantage of staff expertise from these areas.

(3) Projects should maximize cooperative work with graduate library and information science programs and with such funding agencies for information research as the U.S. Department of Education's Office of Educational Research and Improvement.

With this option, the National Center for Catalog Research would be independent of other research efforts in the Library (though coordination would certainly occur).

Pro: As stated in the National Center for Cataloging Research proposal, the center would make a "statement to the Congress, the library community, and the Nation that research for the purpose of gaining better access to knowledge is a highly important enterprise." Improved systems and processes would be developed based on the information derived from the research.

Con: The center would require resources, whether the research is conducted by Library staff or contracted out. It might also seem not broad enough to serve the variety of research needs in the Library.

B. Establish a new "national program" for library and information science research. As a coordinated program based on a strategic plan for research, it would include a full complement of staff with research responsibilities over and beyond those envisioned by the National Center for Cataloging Research. The activities of the proposed center would be included in this national program. The national program would conduct research from a perspective that coordinates and combines the insights of cataloging, automation, and reference specialists as well as end users. The primary objective of the research would be improved service to users; the focus would be on such topics as how bibliographic and search systems are actually used, the degree to which the Library's automated catalog succeeds in guiding researchers to the resources they need, methods used by researchers in browsing, what actually happens when researchers are looking over materials in the stacks, reference accuracy, how research in the sciences compares with research in the humanities, and so forth. Cooperative projects would be a part of this program, but there would be an emphasis on these projects for accomplishing needed research. Preservation research conducted by the Library would be coordinated with this program but maintained as a separate entity.

Pro: Coordination of all of the research efforts of the Library would occur. It would probably be easier to prioritize efforts and to capitalize on previous or existing research activities. There would be a focus or contact for research-related inquiries. Theoretically, there would be savings in a single center for research versus research dispersed throughout the Library.

Con: The program would be costly to start up and to operate. Its research role would have to be clearly defined. If it were overly centralized, it might stifle entrepreneurial research efforts throughout the Library.

C. Develop a minimal national research program with a small number of staff. This program would focus on research projects whose findings could be readily applied to improving the Library's collections, services, and so forth. With a minimal national research program, there would be an emphasis on the development of cooperative projects with other leading libraries, library associations (for example, the Association of Research Libraries and the Council for Library Resources), library and information science graduate programs, and so forth. A very limited number of major research projects would be undertaken by the staff in the program. The program could coordinate the research activities occurring within the Library and make available information on those activities.

Pro: There would be less disruption to the organization and perhaps a greater willingness to accept the program. The Library would be seen as a cooperative partner with other organizations. The costs would be less than for a full-fledged national program for research.

Con: Areas the Library might deem of great importance for research might not be areas of importance to other organizations. Opportunities for substantial improvements in services and the efficiency of operations would probably be lost. There would be a risk that few large-scale initiatives might be undertaken. Research might be viewed as an extra duty for staff and thus be given a lower priority. Insufficient coordination of research within the Library might occur.

IV. Recommendation(s)

Implement C as a starting point. Implement B if C is successful and the necessary resources become available.

DOC 82

Subject: National Center for Catalog Research

NATIONAL CENTER FOR CATALOG RESEARCH

To be effective, cataloging should avoid, in Peter Drucker's phrase, "doing things right, but not doing the right things."

A
Report
to the
Library of Congress
Management and Planning Committee
Subcommittee on Collections

By
Ad Hoc Catalog Research Group

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September 12, 1988

I. Purpose of Report

This report proposes establishing a National Center for Catalog Research (NCCR) at the Library of Congress to investigate and advise on catalog use, the cataloging process, and the development of knowledge access systems. This NCCR is needed to improve access to library collections and to foster improvements in cataloging practices and in research access systems.

The report reflects the conviction of the members of the Ad Hoc Group on Catalog Research that basic research is needed to explore the foundations of cataloging. Since the enumerative details of cataloging have the ultimate purpose of providing access to materials, a coordinated focus is required to enable catalog systems to improve and advance. In order to exert leadership, the research effort must promote radical thinking and fresh ideas which challenge the traditional.

II. Background

Library catalogs provide a complete enumeration of items arranged systematically with descriptive details sufficient to identify each item in a collection. The cataloging process is integral to the essence of a library. The catalog which results from this process provides the structure and control which distinguish a library's collections from a mere assemblage of disparate information materials. Over the last two decades, as library catalogs evolved from manual to on-line environments, the cataloging process has become increasingly complicated, complex, and labor intensive. Little research has focused on evaluation, especially in the areas of cataloging validation, catalog user needs, and cost analysis of cataloging. As the year 2000 approaches, catalog managers require scientifically derived factual information to bring about an evolution of the catalog to a knowledge access system applicable to the Nation's research communities.

The proposed establishment of the NCCR results from discussions held by the members of an Ad Hoc Catalog Research Group. This report has been prepared for presentation to the Management and Planning (MAP) Committee's Subcommittee on Collections, which is exploring issues related to cataloging. It is the intention of the Ad Hoc Catalog Research Group that MAP use the proposed NCCR as a topic for discussion, and, further, that MAP consider recommending to The Librarian that such a National Center for Catalog Research be established within the Library. The Ad Hoc Catalog Research Group is composed of senior staff from Processing Services, Research Services, CRS, and the Copyright Office familiar with cataloging, catalog policy, and catalog use.

The proposed NCCR results from the Ad Hoc Catalog Research Group review of the work done by MAP over the past few months. As MAP has recommended, one of the values underlying the Library's operations should be effectiveness. Effectiveness is characterized as achievement of optimum results through efficient use of resources. In addition, constituent needs are to be met by collecting, monitoring, and using information to adapt Library goals and programs to meet changing circumstances.

Catalog Research Opportunity

The Library has the opportunity to assume a national leadership role in conducting, coordinating, and encouraging research related to the general topics of knowledge access and retrieval, as well as the more specific topics concerning the cataloging process and the use of catalogs. No other institutional organization is currently positioned to provide the required leadership and coordination in these areas of research concern.

For most of this century, the Library has created and distributed catalog records and cataloging related products to the U.S. library community. As a consequence, the national library community looks to the Library as the primary authority and source for catalog records and cataloging policy guidance. In response to this external demand, the Library's cataloging programs reflect a responsiveness to external cataloging needs and constraints which have not always allowed the Library's own internal planning and needs to receive highest priority. When the Library's internal cataloging circumstances have conflicted with those more general needs of U.S. libraries, the external needs have, at times, predominated. The NCCR would provide the Library the opportunity to research the influence of internal and external cataloging issues, helping to establish policy guidance and priorities necessary to balance operational concerns with external requirements.

National Cataloging Role

The Library's existing cataloging systems reflect responses to various issues affecting national and international cataloging communities. In order to develop catalog policies which balance the internal needs of the Library with those reflecting the needs of the external cataloging community, an integrated research program is required to provide for informed management decisions regarding the initiation of new cataloging programs and changes to existing cataloging programs within the Library. An essential ingredient in any proposed change is testing its validity with end-users.

The Library's cataloging process must establish priorities which balance external cataloging needs with local cataloging resources and constraints related to accessing the Library's massive collection resources. The careful development of a catalog research agenda can provide information to assist Library management in making cost-effective decisions regarding the rationalization and streamlining of the cataloging process through which we serve our own clientele and the Nation's library community. The NCCR research effort is necessary because most large libraries' currently available cataloging staff and system resources are not adequate to process the materials they acquire. Further, the Library's ability to attract and retain a superior cataloging workforce is becoming increasingly difficult, reflecting a generally recognized trend of professional librarians to choose specialization other than technical services. Given these factors, the Library is well advised to initiate catalog research through the proposed NCCR in order to provide management direction for future catalog program development and change, not only for itself, but for libraries everywhere.

LC Cataloging and the Research Library Community

The current state of cataloging practice at the Library reflects a continual process of development and refinement of practices based on international cataloging principles which are now over a century old. The foundations of these cataloging principles contain decisions and compromises that may no longer be appropriate. The Library's role in the international cataloging arena is that of the preeminent authority in the field of descriptive and subject cataloging and classification practices. Decisions made for internal conditions often influence cataloging practices at institutions within the national research library community and beyond. The Library's Catalog Research program therefore should be established to address the broader catalog user needs of those users served by the U.S. research library community.

At the present time, there is no national cataloging research coordinating office which serves the functions performed by the British Centre for Catalogue Research at the University of Bath which was established in 1977 by the British Library Research and Development Department. Because of the current state of cataloging in the Library and within the U.S. library community, there is a critical need for coordinated research into the principles and practices of descriptive cataloging, subject cataloging, and classification. Such research can provide the basis for progress and development in these fields and improve access to knowledge.

Research Application to Library Cataloging Procedures

The National Center for Catalog Research should not fulfill only a theoretical research mission. The Center should concentrate on applied research which rationalizes and simplifies cataloging programs and products, for all libraries. Translating the research findings and results into specific changes or actions within the existing Library organizational environment must be assured so that the Library and the users of its cataloging products will benefit from the application of the research results.

Current Cataloging Issues

Standards are often reached through compromise; in order to achieve acceptance by the varied group of users, provisions are added that may not be desirable for some users. Standards accepted by differing types of agencies also tend to be complex; everything must be covered, even though no one agency will need all of them. And all must be written down; because communication between the standard setters and the agencies using them is limited, minute details are codified.

Although it is impossible to overstate the importance, the necessity of standards, the struggle to achieve them may have led us to neglect the user in whose interests we have been fighting. The Library and the library profession should take time to reevaluate what is really needed. Even within the framework of the existing system of standards, research into the real needs of the users (indeed into who the users actually are) could serve a most useful purpose.

III. Proposal for a National Center for Catalog Research

Within the national research library community, it is generally recognized that catalog access improvements are required in order to take full advantage of technological changes which have taken place over the last two decades. These developments require research which challenges the theoretical foundations of cataloging activities and concepts, providing newly restructured models and functions which bring catalog access into the realm of knowledge access systems. Research into catalog access topics should address the issue of knowledge access. Only through such research can improvements be made, applying new concepts and appropriate technologies for creating, storing, and delivering efficient access services to library users and staff. It can be demonstrated to both the Congress and the private sector that it is in the long-range interest of the Nation to invest in facilitating access to knowledge through improved cataloging and bibliographic control systems.

To conduct and coordinate research of broad applicability to libraries, we propose the establishment of a National Center for Catalog Research within the Library of Congress. The NCCR might be a component of the library science research and development organization which has been discussed within the MAP Committee, or it could be located elsewhere in the Library.

Emphasizing R&D efforts and centralizing them within one or more independent organizations in the Library makes a statement to the Congress, the library community, and the Nation that research for the purpose of gaining better access to knowledge is a highly important enterprise. Congress must be persuaded that an underlying principle for the U.S. in regaining the competitive edge is being able to access, for example, new developments in the sciences and industry with ever-increasing efficiency and effectiveness. Moreover, the ability to review developments of the past with even greater thoroughness and completeness is concomitantly important. Outside fund-raising efforts would be aided by having a center whose breadth of pc... research would have appeal to a broad spectrum of corporatic... and foundations.

NCCR-Directed and Contracted Research

Granting the NCCR authority to award contracts for specific research projects would broaden its possible research agenda and thereby attract a wider range of potential donors. Contracted research would complement the basic and applied research done within the NCCR. The availability of research funding for the Nation's research libraries, library schools, and information science researchers, among others, could also promote Congressional interest in the enterprise since it provides the opportunity for the funding of projects in the Members' states and districts.

A. Some Possible Research Topics for the NCCR

In general, the research agenda for the proposed National Center for Catalog Research can be categorized by whether the topics are related to content or access. The following are examples of research that could be done:

Content Related Research Topics:

1. Explore the balance between cataloging record accuracy and extent of cataloging in order to set standards for quality and quantity

2. Explore the possibility of adjusting the level of cataloging to the content and format of the material

3. Research the impact of selective modification or elimination of various information elements in the catalog record

Access Related Research Topics:

1. Explore the formation of outside advisory groups on the catalog, including both catalogers and catalog users

2. Study the different research methods which scholars in various disciplines employ in order to determine what cataloging program best meets the needs for access to various types of materials

3. Research the concept of main entry cataloging within current online system environments

4. Research catalog access points in order to determine the degree of indexing required to provide retrieval, especially for material which is considered for analytical or content entry cataloging

5. Research finding aids which could provide limited access to unprocessed materials in arrearages

Additional General Research Topics and Suggestions for Consideration:

1. Explore the sponsorship of guest scholars on sabbatical at the NCCR to research specific topics of interest

2. Explore the options for making access to outside database search services available to Library users

3. Explore the extent to which decentralized cataloging operations should adhere to standards in cataloging

4. Research the role of expert systems and artificial intelligence in developing future cataloging and catalog access systems

5. Develop cost accounting models, and propose standards, for the cataloging process to help assess the benefits of potential methods of cataloging simplification

B. The Library as Laboratory

The Library has an "in-house" body of users that can provide the basis for gathering evidence regarding cataloging experimentation. In the Research Services Department, the General Reading Rooms Division has responsibility for assigning study desk facilities and shelves to serious researchers making extensive use of the Library's general collections. These researchers, including experienced scholars, faculty from across the U.S., independent scholars, and doctoral candidates, use the Library for specific in-depth research projects which involve intensive use of various internal catalog access and retrieval systems providing collection information about the Library's resources.

Several years ago, when GRR began public classes in using the Library's automated catalog access systems, desk holders were used to test the project. The reactions that this group of researchers might have to various experimental cataloging alternatives could provide valuable insights. These researchers are familiar with using both the manual card catalogs and the Library's online catalog tools, as well as those retrieval systems provided by other libraries. In addition, this group of scholars are experts in the literature of their disciplines and are strongly motivated to provide their reaction to new access techniques which could promise improvements in performing their research. Such consultations would also extend to scholars whose research involves the use of non-book materials.

In addition to visiting users of the Library's cataloging products and systems, reference librarians in almost 20 reading rooms in Research Services use the automated catalogs daily. This group of professionals could participate in studies and pilot projects. CRS provides an additional experimental environment which might be used for possible testing of changes in cataloging. With intensive use of information access and retrieval systems which are provided by private sector vendors, CRS researchers bring substantial experience to catalog research projects which could serve to help place various catalog alternatives into a wider context. CRS as a catalog research environment also has the potential for demonstrating to Congress that progress in the a[illegible] of knowledge access systems can provide immediate return benefits.

C. <u>Library Science Research Foundation</u>

Whether the Library's cataloging research effort is centralized within a single library science research and development organization or is elsewhere within the Library, a mechanism will be needed to obtain outside funding for specific research projects. The Librarian can receive outside monies for projects, and these can be deposited within a trust fund under his current authority (2 USC 154). However, as in the examples of the Center for the Book and the American Folklife Center, Congress can statutorily create separate entities for fund raising purposes to emphasize the importance of the particular enterprise, and to draw attention and support to those specific programs and purposes. The establishment of a Library Science Research Foundation could provide an opportunity for the Library to attract the nation's information and research communities' interest and support in development of knowledge access systems, the investigation of catalog use, and the cataloging process.

A National Advisory Board for the Foundation could be comprised of leading information scientists, representatives of the information industry, the scholarly research community, research libraries, schools of library science, and relevant Library department heads. Since contributed funds would be directed to identified research projects, a national board could broaden the spectrum of the research agenda, ensure the integrity of the research design and purposes, and provide an additional outlet for the dissemination of the results of the research.

ATTACHMENT TO THE REPORT OF THE AD HOC CATALOG RESEARCH GROUP

Current State of Cataloging in the Library

Descriptive and Subject Cataloging

Brief History of Descriptive Cataloging

Descriptive cataloging in the United States has largely been governed by published cataloging codes prepared by interested groups of catalogers. The Library has, naturally, been very influential in the preparation of these codes, but gradually the perspective has broadened, and the current code, Anglo-American Cataloguing Rules, 2nd edition (and the forthcoming 1988 revision of AACR 2) represents an international attempt to standardize cataloging practice in the major English speaking countries. It also reflects international standards for bibliographic description sponsored by the International Federation of Library Associations and Institutions. AACR 2 also goes beyond traditional book cataloging and provides a framework as well as detailed specifications for cataloging of special materials: cartographic materials, manuscripts, music, sound recordings, motion pictures, graphic materials, computer files, three-dimensional artifacts and realia, microforms, and serials. Supplementary cataloging manuals have been prepared for some of these materials, most of them by Library staff.

Brief History of Subject Cataloging

Subject cataloging practice has been dominated by the Library of Congress Subject Headings, an accumulation of more than 172,000 subject headings established by the Library of Congress since 1898. The need over the years for more subject access to catalog records has resulted in a gradual increase in the number and specificity of subject headings established and assigned; the need for standardization of subject cataloging practice and cooperative cataloging has resulted in the publication of the Subject Cataloging Manual: Subject Headings and the Subject Cataloging Manual: Shelflisting. Separate subject cataloging systems have been devised for special types of materials, e.g., art, medicine, and graphic materials.

The Library of Congress classification system formally started in 1902 with the publication of the first edition of Class Z: Bibliography and Library Science. The LC classification system presently consists of twenty-one subject classes contained in 44 separately published schedules. Each of these schedules has been developed by various groups of subject specialists. Schedules are updated and revised periodically through weekly additions and changes. New classification schedules, especially in the area of law, are still being developed.

MARC Formats

The "modern" era of cataloging began in the late 1960's with the development of the formats for machine-readable cataloging (MARC). This pioneering effort, made largely by the Library, allowed for the rapid and widespread dissemination of cataloging via the MARC distribution services and for the formation of bibliographic utilities like OCLC, RLIN, and WLN. The first formats for book materials followed traditional cataloging structure; formats for other materials were sometimes developed in conjunction with special cataloging manuals, again with LC taking a leadership role, but in consultation with the library community. MARC catalog records began to be produced on an operational basis at the Library in March 1969, beginning with U.S. imprints in English, and expanding gradually until about 1982 when all books and book-like materials in all languages were covered.

When the Library implemented the Authority format, it also made heroic efforts to automate and distribute thousands of LC name, series, and subject authority records for the use of other libraries. These records provide authoritative information concerning the standard forms of names and subjects to be used as access points on bibliographic records, the forms that should be used as references to the standard forms and the interrelationships among these forms. This authority work had been largely "invisible" to other libraries before, though certainly reflected in the headings used in LC records. Authority control is an essential aspect of cataloging and the Library has provided an extremely valuable service by making its authority files easily available. Under development is a machine-readable format for classification schemes.

Cooperative Cataloging Programs

With the standards provided by the cataloging codes and the MARC formats, it became feasible for cataloging done once to be used by thousands of libraries. Ever-tightening budgets made this a necessity, and the Library has devoted great resources to providing quality cataloging that can be used by libraries throughout the world.

The Library's National Program for Acquisitions and Cataloging (NPAC) of the 1960's and 1970's, resulted in a great increase in the acquisition and cataloging of foreign language materials. Efforts were made to incorporate into the LC catalog record some elements of the cataloging provided for these materials by the national bibliographies of their country of origin.

The National Coordinated Cataloging Operations (NACO) began in 1977 when the U.S. Government Printing Office Library began submitting name authority records to the LC automated name authority file. Since that time, more than forty other libraries have joined NACO, submitting name and series authority records to what is now often called the national authority file. The Linked Systems Project (LSP) has provided a computer-to-computer link between the databases at OCLC, RLIN, and LC. Currently it is used for the transmission of authority records, but should soon be usable for bibliographic records created by the members of the National Coordinated Cataloging Project (NCCP). Eight major American university libraries are members of NCCP, and their cataloging will be available for use by LC as well as the members of the utilities and subscribers to the MARC Distribution Services. LC is the technical manager of these projects, and maintains the master database.

The CONSER program is a cooperative program for online serials cataloging. It began twelve years ago as the CONSER

(CONversion of SERials) Project and recently became the CONSER (Cooperative ONline SERials) Program. It was initiated to convert manual serial cataloging into machine-readable records. The full CONSER database resides on the OCLC online system. Membership in the CONSER Program includes the national libraries of the United States and Canada (and their respective International Serials Data System programs), and selected U.S. federal and university libraries. Also included are participants of the United States Newspaper Program. The records created by these institutions are used for serial cataloging, selection and acquisitions, interlibrary loan, and union listings.

In 1984, LC began cataloging Chinese, Japanese, and Korean (CJK) monographs directly into the Research Libraries Information Network (RLIN); in 1986, Hebrew and Yiddish (HY) monographs were added. The RLIN system supports the input and retrieval of CJK and HY records using vernacular data as well as romanized data. Other RLIN institutions when cataloging are able to identify LC's cataloging and copy that record without having to do most of the cataloging over again.

Cataloging-in-Publication (CIP)

The Cataloging in Publication (CIP) Program, which began in 1971, is a cooperative effort between the Library and U.S. publishers whose purpose is the preparation of pre-publication catalog records for forthcoming books. These catalog records with CIP data are not only printed in the published books, but also appear on the Library's machine-readable MARC tapes, through which cataloging information is disseminated to other libraries. Librarians use the CIP data printed in the published work as an aid in cataloging new acquisitions. The CIP data distributed via the MARC distribution service tapes are also used for library acquisitions purposes, thus providing a channel through which publishers can bring their forthcoming titles to the attention of the library market.

Subject: International Library Services

I. Statement of Issue

While the Library has been active internationally in a number of areas (scholarly activity, the exchange of materials, guidance and assistance in preservation efforts, distribution of the Library's bibliographic records, development of bibliographic and technical standards, and interlibrary loans), these activities have not necessarily been coordinated as part of a "strategic" international effort. Further, the Library has not fully seized the opportunities available to it for participation and leadership in the international library community. To improve and enhance the Library's role in this community and to aid in the free flow of information, the Library needs to reexamine and strengthen its international activities and establish an international library service program.

II. Analysis

The Library's selection of international programs has, in many instances, been based on ad hoc attempts to respond to specific service needs or requests for assistance rather than on a well-reasoned strategic plan. Current services have not been analyzed to determine their effectiveness nor has there been an active exploration of new initiatives. The international role has been somewhat less than fully realized for several reasons.

A. There has not been a clear vision of the Library's relationship to the libraries of the world. As stated earlier, programs servicing international libraries frequently exist in isolation from one another. No one person or area has the responsibility for coordinating these activities.

B. Other countries' libraries are not aware of what Library services are available to them and under what conditions they may access those services. It is not necessarily known which individuals or areas in the Library should be contacted for services. This may slow down the delivery of information, the receipt of material requested, and so forth.

C. Library funding for international travel, which is expensive, has been limited. Moreover, there has been an expressed reluctance to pursue additional funds from Congress. Because of these funding constraints, participation in international conferences and meetings and travel by library scholars has had to be confined to a small number of individuals.

D. While the Library markets and distributes bibliographic records from Canada and Great Britain, these records are not available to most of the Library's staff and to users of the collections and data bases. (These records are available on the bibliographic utilities, OCLC and RLIN.) Further, the Library, which has received records from a number of countries over the years, has not "converted" these records to the USMARC format for distribution to other libraries, vendors, and the bibliographic utilities; as with the Canadian and British records, these records have not been loaded onto the Library's data base for access.

E. A clearly defined and well-publicized protocol for international interlibrary loans and reference services does not exist. Reciprocal agreements, involving access to collections and reference staff in other countries, have not always been formulated.

F. Although the Library has provided assistance to international libraries, it has been in response to specific requests and not as a result of a broader program for training and consultative services.

As a result of the above, the Library is not as effective as it might be in the international library community, nor has it been able to utilize as completely as possible the resources of other libraries in the world.

III. Options

A. The Library could retain the current decentralized approach to international library services.
Pro: It would probably not involve additional efforts or resources.
Con: It would not reflect a strategic or coordinated approach to international library services. Existing services might continue to be provided without an examination of changing needs; new initiatives might only be undertaken as requests are made, thus reflecting an ad hoc approach. The Library might also miss opportunities to make use of the collection, staff, and technology resources of other countries. Similarly, individuals or organizations in other countries may continue to be unaware of the resources available at the Library, and when and how to access them or perceive in the Library a reluctance or inability to provide more comprehensive international service.

B. To increase the effectiveness of its international library services, the Library should develop an organizational focus, such as an international library liaison specialist or a unit or section of international library liaison staff. If, as recommended in another MAP proposal (DOC 78), the concept of a Library Liaison Office is implemented, it is logical that the staff responsible for an international focus could be located there. These staff would perform an important coordinating and informational function for the Library. They would identify appropriate forums for participation and track the international conferences and meetings attended by Library staff. Information on these forums as well as on conferences attended by whom, for what purpose, and with what outcome would be provided to the Librarian and top management for evaluation. International library liaison staff would refer requests for information or assistance to the best sources within the Library (and follow up to verify that the needed information/assistance was obtained), coordinate policies for international efforts in interlibrary loan and reference services in conjunction with the divisions responsible for these services, monitor trends in library and information services outside the United States, provide summaries of these trends, and so forth. The primary thrust of the international library liaison efforts would be to identify opportunities for international involvement, ensure that adequate information about these opportunities and existing activities is available so that coordination can occur, work with the Librarian and management on the development of a strategic plan that would focus resources on the areas of highest priority, and follow-up on the implementation of the plan.
Pro: There would be designated resources for an overall coordination of international library services. A contact point would be established for those individuals or organizations uncertain of the individual or area of the Library which can respond to questions or provide assistance. This contact point might result in staff savings by more effectively directing queries.
Con: The role of individuals assigned this responsibility versus management's role in international library services would require clarification. There would be additional costs for the staff providing this service.

C. The Library should develop a strategic plan for the international library programs. This plan, which could be drafted by the international library liaison staff for approval by the Librarian and management, should reflect the full exploitation of the programs currently available as well as plans for new programs. The strategic plan should clearly indicate the prioritization of these programs.

D. The Library should obtain increased funding for international travel. Appropriated travel funds could be supplemented by non-congressional funding sources. These travel funds would be used for attendance and participation in IFLA conferences, international book fairs, conferences of international technological and scholarly associations of various types, scholarly meetings, the acquisition of materials, and so forth. By sending managers, library scholars and experts from the Library to attend and present on topics of international interest, by involvement on working committees, and by exhibiting and actively marketing products and services, the Library can enhance its role internationally. In addition, the Library could actively solicit having individuals of international stature visit the Library (there are various funding sources for this type of activity). In either case, the existence of a strategic plan to guide the Library's participation in these organizations, their conferences, and other professional efforts internationally is essential. The identification of international goals should be based on the Library's overall mission, goals, and objectives, on a comprehensive knowledge of the existence and activities of various international organizations and forums, and on a prioritization of Library services and potential new directions for the Library in the international community.

Pro: The Library would be able to enhance the knowledge of its collections and services and share the knowledge and expertise of its staff and scholars with other organizations. If the Library is actively engaged in distributing its products and services, the international marketplace would offer opportunities for increased sales.

Con: Congress has expressed concerns about Library travel in the past. It is thus particularly important that the rationale for this expensive travel be conveyed to Members of Congress and their staffs. These Members and their staff would need to be well informed about the international initiatives of the Library. (These initiatives could be included in the Library's strategic plan; it is assumed that the plan would be shared with Congress.)

E. The Library should broaden the program for the redistribution of international bibliographic records and increase access to these records by Library staff and users. While the Library has obtained and distributed sale copies of records from the National Library of Canada and The British Library, the potential exists for a broader program of international bibliographic record exchange and redistribution of the records for a fee. Market research conducted by the Library in mid-1987 indicated substantial interest in access to the bibliographic records of France, the Federal Republic of Germany, the German Democratic Republic, Spain, Australia, and Italy. There was also interest in records from China, New Zealand, Japan, the Philippines, Mexico, and Taiwan. Work has already begun to obtain and "convert" the records of the national libraries of Australia, New Zealand, and Japan. These efforts should continue and expand to include, as top priorities, the French and German records. In addition to distributing these international records to libraries, vendors, and the bibliographic utilities, the Library could load the records into its online system for access by staff and users. If loading the records is not possible, the development of this capability must be delayed due to other automation priorities, or the costs do not warrant access to the international records on the Library's data base, access to these records on the utilities should be made available.

Pro: The distribution of international bibliographic records would enhance the sharing of information in the United States and throughout the world. The sale of these records would also result in increased revenues for the Library.

Con: There are costs to convert international bibliographic records to the USMARC communications format. If there is a separate file of international records for the Library, there would be costs involved in the establishment and maintenance of the file. In addition, if the records are loaded on the computers at the Library, they would require storage space.

F. The Library should develop and publicize a clearly defined protocol for service to the international borrowers or users. Only requests for free interlibrary loans or reference queries which cannot be handled in the originating country should be forwarded to the Library. A structure should be put into place so that "inappropriate" international requests for materials loans or information can be directed to the appropriate library. The protocol for service should also include provisions so that the Library can refer some of its loan requests or reference queries to other countries for a response. The protocol for international interlibrary loans and reference service should be parallel to the extent possible so that the rationale for the approach is clear and easily comprehended. A parallel track for loan and reference services would also expedite the forging of relationships with organizations in other countries that might function as conduits for these services. Reciprocal agreements, involving access to collections and reference staff in other countries, should be a part of this structure.

There are countries which lack the resources to address the information needs of their citizens and to enter into reciprocal agreements for interlibrary loan and reference services with the Library. Consideration should be given to the development of a different set of criteria for the provision of interlibrary loan and reference services to these developing countries.

Pro: Staff time would be saved by having known relationships in place with organizations to handle the referral of inappropriate international interlibrary loans and reference requests. These organizations might also function simultaneously as sources for Library requests fc · information and interlibrary loans.

Con: It would take time to put such a protocol in place. Time would be lost in the process of referring requests received at the Library to another national library. Some countries do not have strong library services in place.

G. The Library should develop criteria for determining at what point service cannot be provided free of charge. Utilization of the proposed National Center for Research and Analysis presents an alterative for handling in-depth queries and for addressing requests for institutions that cannot provide reciprocal services; it could be a part of the protocol for international reference service. If appropriated funds are used for partial support of the customers, consideration should be given to a higher rate for the international research-for-a-fee service. If a country cannot afford the fee-based service, funds could be solicited for support of these requests as part of the foreign assistance provided by the Department of State or the USIA.

Pro: A framework would be place for referring and handling international requests for in-depth information.

Con: In certain instances, there might be an unwillingness or inability to pay for these services. Staff in the National Center for Research and Analysis might not be able to accommodate the international requests due to other demands on their time. The Center might not be put into operation or prove successful.

H. The Library should expand the training programs and provide consultation services for the international library community. Through the use of the international library liaison staff, library trends and the needs of other nations' libraries would be identified and specific training programs or consultation services developed. A key feature of these proposed services is the opportunity to charge fees. Similarly, training materials on specific topics of interest in preservation, optical disk technology, collection management, cataloging materials processing, and new developments in various subject areas could be actively marketed as sales items.

Training or consultation services should be provided by staff experts in programmatic or subject areas. Individuals responsible for the international library liaison function would work with management and staff to identify these sources of expertise at the Library. If staff are utilized to provide these high-profile services, there must be sufficient support to permit their successful participation. Released time from ongoing responsibilities to prepare training materials and programs must be provided along with assistance in "how-to" train effectively. If the training and consultation services program flourishes, additional staff might be necessary. The additional staff could either be devoted exclusively to the training and consultation programs or be used to relieve staff from daily responsibilities to ensure their effective participation in this special assignment.

The international library liaison staff should play a pivotal role in coordinating training and consultation efforts. They should have the primary responsibility for monitoring developing needs or projecting upcoming needs in the international marketplace, for ensuring that the strategic plan reflects those needs in conjunction with the overall mission, goals, and objectives of the Library, for working with the departments on the identification of staff to train and consult. for providing assistance to those staff, and for evaluating, with the customers and the trainers and consultants, the success of the endeavor. Training programs and consultation services should not be developed which are available from other sources.

Pro: The Library would be able to make use of its excellent resources in a manner that would enhance its leadership position in the international community. The training and consultation services offered might be the source of additional revenue for the Library. Staff would probably view the opportunity to work with other experts, library scholars. librarians. and so forth, on an international level, as professional growth. The Library could probably get aid money to provide training programs and consultation services to libraries which cannot afford to fund them.

Con: There would be a drain on current resources to develop and operate this program. It is likely that additional staff would be necessary. Travel monies, historically a problem at the Library, would have to be available. There might be time involved in training the experts to be trainers--not everyone who has subject expertise, for instance, might perform effectively as a trainer or consultant.

IV. Recommendation(s)

Implement B through F. Implement G if the National Center for Research and Analysis becomes operational. Implement H as time and resources permit.

Subject: American Memory

THE AMERICAN MEMORY PROJECT

On the occasion of the two-hundredth anniversary of the U S Congress in 1989, the Library of Congress will inaugurate "American Memory," a dynamic, multi-faceted program of public education unparalleled in the Library's history. American Memory's ambitious purpose is to demonstrate and nourish, in every part of our country, the vitality of the American experience. Using advanced technologies, American Memory will share with the American people the collections and knowledge accumulated at the Library of Congress through the generosity of the U.S Congress. It will dramatize the value of the Library of Congress as a premier and irreplaceable repository of ideas and information about the national life. It will give the Congress and its Library a leadership role in sustaining and increasing the cultural and political literacy of our citizens, a precondition for the success of participatory government. And through exhibitions, symposia, and programs in Washington and around the country, American Memory also will recognize the remarkable achievements of each of the fifty states, stimulating pride in local history and culture and a renewed appreciation of our federal system.

Woodrow Wilson wrote, more than a century ago, that "the informing function of Congress is to be preferred." In this spirit the Library of Congress, as an instrument of the U S Congress, seeks to inform and enrich a new national discourse about the future of our nation as we enter our third century of constitutional government.

*THE AMERICAN MEMORY PROJECT: will make LC collections more accessible, put them in libraries and schools around the U S, make them available in easy-to-use disk form in a package including catalogs and/or indexes, and educational programs

*AMERICAN MEMORY PRODUCTS: The products will emphasize American content American history & culture, will have value over the long term and appeal to a wide range of citizens, and will relate to one another, thus creating a cumulative value greater than that of the individual parts

*LOCATIONS Selections will be placed in many types of libraries and schools throughout America The choice of location will take into account demand as revealed by a market survey

*AUDIENCE: High school and college students, the general public, scholars and even advanced grade school children will be users of American Memory disks Special introductory programs will provide access to many of the comprehensive collections disks or will be prepared as stand alone items Such program offerings, of course, will be widely used by students, the public, and researchers Other disks, such as compilations of local history and genealogy information, will serve more specialized reference functions and will be primarily used by researchers

*FUNDING. will include public-private collaboration Any given product might take the form of a coproduction Grants or donations will be sought. Technology firms may contribute software, system design, and/or equipment to user libraries.

*COSTS: Production costs for disks using materials already processed and captured in LC's Optical Disk Pilot Program would be several thousand dollars Cost of new production work would range widely depending on collections chosen but usually fall between $25,000 and $400,000 There are options for the price of disk to the customer, but if LC's preferred option is chosen, some disks would be free to selected institutions, CD-ROMs would cost $25-400 each, and video disks would cost $50-500 each

*CONTENT. major LC collections representing a major theme, along with accompanying interpretation, annotation, and pedagogy in the form of indexes, essays, and programs Collections will always have an index or catalog to serve researchers. Many collections will also have automated "guides" that will lead users into the collections -often one or more for young people, and another set for college students and adults The guides will make use of the latest and best in "hypermedia"

*FORMATS: will emphasize optical disk technology, using existing (and affordable) disk forms to the extent possible, with new refinements as desirable. The technology will be such that other producers can create products that fit into the LC system. We will seek to increase U.S. participation in the marketplace for software and hardware.

*CALENDAR: The Library will conclude a market survey in early 1989 The Library will attempt to have a disk ready for the opening of the September exhibit on the Congressional Bicentennial, with regular production, as shaped by the market survey, in the FY1990 pilot Subsequent work will depend on the findings of the pilot

*SERIES: the present plan is for three "series" requiring six years:

The Legislative Governance of the Nation: The First Two Centuries of Congress
American States, Places, and People: Resources for Local History and Genealogy
Visions of America in Popular Arts and Popular Culture

*NATIONAL PROGRAMMING: Exhibitions, conferences, lectures, publications, and educational products (including videotapes and videodisks) will be developed initially around two themes: "The Legislative Governance of the Nation: The First Two Centuries of Congress," and "American States, Places and People." The major exhibition celebrating the Bicentennial of Congress will open in September 1989, and the first "States of the Nation" exhibit will open soon thereafter. Following these openings, events will take place around the country in cooperation with libraries, schools, and other cosponsors. Partnerships also will be developed with corporations, state funding agencies, and Congressional offices.

10/27/88

DOC 85

Subject: States of the Na'ion

As part of its celebration of the Bicentennial of the American Congress, in 1989 the Library of Congress will inaugurate the States of the Nation project, a systematic recognition of the book, library, and cultural traditions of the 50 states, the District of Columbia, Puerto Rico, and the Virgin Islands. Planned and carried out in cooperation with organizations and individuals within each state, the project will include exhibits, public programs, publications, and cultural events both in Washington, D.C. and in the state being recognized. Members of Congress will participate in events in both locations.

The Library of Congress States of the Nation Project will demonstrate the vital connection between Congress, its Library, and the life of the mind in every part of the country. Specific products will include: 1) an exhibit about each state which, after opening at the Library of Congress, will become a small traveling exhibit in and for the state being honored; 2) published educational materials based on the exhibit, including a checklist of the exhibit and a literary map of each state; 3) video tapes, video disks, and other products developed for educational use from the collections of the Library of Congress; 4) a description of Library of Congress resources available for the study of themes that illuminate the state's history and culture. Librarians, historians, and folklorists from each state will have opportunities to shape these materials together with specialists from the Library of Congress. Many of these products will be made available in the Library's sales shops as well as throughout each state. Elements of the exhibit and supplementary materials that take permanent form in high technology products will become part of the Library's "American Memory" project, which will make Library of Congress collections more accessible to libraries and schools throughout the nation.

When possible, a state's celebration will emphasize a specific theme. Representatives from the state to be involved will work closely with the Library of Congress in planning the exhibit and other activities. Additional support will come from cosponsors in both the private and public sectors.

The exhibit at the Library of Congress will draw on the Library's own resources, interpreting its collections around the chosen theme or themes. Space will be provided within the exhibit for local institutions to add relevant materials from their own collections when the exhibit travels throughout the state. Congressional delegations will participate in the exhibit opening at the Library of Congress and at the state capitol, where they will be joined by state legislators. Each opening will be a one or two day celebration and will include appropriate lectures, poetry and literary readings, concerts, symposia, etc. Library of Congress officials and staff members will take part in each opening, with the events in the state providing the Library a chance to discuss its role and services with librarians, scholars, and public officials. Local programming will take place as the exhibit moves about the state.

The States of the Nation Project will focus on cultural themes and on how the citizens of each state have contributed to the life of the nation. It will make clear the essential role of libraries in collecting, preserving, and transmitting our cultural heritage. Specific topics for exhibits and public programs will vary according to each state's unique traditions, but will include a state's literary and political heritage; libraries; communications; printing and publishing of newspapers, magazines and books; education; the arts; folklife, folklore, and ethnic traditions; business, science, and travel; cities; architecture; and other subjects of statewide interest and pride. When possible and appropriate, historical links between the state and the Library of Congress will be described, e.g. Herbert Putnam, Librarian of Congress 1899-1939, was the first librarian of the Minneapolis Public Library; and Senators Robert La Follette of Wisconsin, Simeon Fess of Ohio, and Everett Jordan of North Carolina have made especially important contributions to the development of the Library of Congress.

The Center for the Book, which now has affiliated centers in 17 states, will coordinate the LC States of the Nation Project. Many administrative units in the Library of Congress will participate, including the Exhibits Office, the Research Services Department, the American Folklife Center, the Congressional Research Service, the National Library Service for the Blind and Physically Handicapped, the Processing Department, the Law Library, and the Poetry, Information, Publishing, and Legislative Liaison Offices.

The States of the Nation Project offers many opportunities for partnerships and cosponsorships with organizations that have national memberships, with state organizations and funding agencies, and with Members of Congress and their offices.

DOC 86

Subject: Smoking

UNITED STATES GOVERNMENT

Memorandum

LIBRARY OF CONGRESS

MAP

MANAGEMENT AND PLANNING COMMITTEE

TO : James H. Billington
The Librarian of Congress

May 20, 1988

FROM : Ellen Hahn
Chair, MAP Committee

SUBJECT: Smoking Policy

Attached is the report of the Committee on Smoking and a proposed new LCR 1817-7. Included are:

1. The transmittal memo from committee chair Sandra Baumgardner

2. The committee report, which presents:

    a. Overview
    b. Recommendation: that smoking be prohibited except where the privilege has been extended by the Librarian
    c. Major changes
    d. Agency implications
    e. Implementational concerns
    f. Consequential concerns

3. Draft revision of LCR 1817-7

4. Current version of LCR 1817-7, with changes highlighted

5. Proposed new regulation, (prepared by the Library's Regulation Officer Jim McClung) which states that "smoking is prohibited in all Library space except certain rest rooms, lounges, and portions of the cafeteria and coffee shop as specifically designated by the Librarian."

Should you approve this policy change, I recommend that members of the committee and/or other appropriate Library staff be charged immediately to address the agency implications identified by the committee and to prepare and carry out an implementation plan.

Attachments

cc: Sandra Baumgardner

COMMITTEE REPORT: LCR 1817-7
SMOKING IN THE LIBRARY OF CONGRESS
SUBMITTED MAY 18, 1988

Sandra Baumgardner, Stephen Bush, Dr. Sandra Charles, Blanchard Randall, Foster Reding, Yvette Sutton, Ferrold Thomas

OVERVIEW:

The current smoking regulation, LCR 1817-7, is as progressive as any we have found in the federal sector. Our regulation is long standing and it has specific restrictions. It also provides for separate smoking and non-smoking areas which other agencies are only now beginning to adopt.

However, current medical information on the hazards of smoking and exposure to environmental tobacco smoke (ETS) coupled with an increase in expressed staff concern indicate that the Library policy should be reviewed.

RECOMMENDATION:

The committee recommends that the policy on smoking in the Library of Congress be revised to state that smoking is prohibited except where the privilege has been extended by the Librarian

We also recommend and forward the attached revised LCR 1817-7 reflecting and specifying this policy change

MAJOR CHANGES:

This recommendation includes two major changes in the current policy.

1 The policy statement includes the phrase, smoking is prohibited in the Library of Congress.

2 Areas in which smoking is prohibited includes all work space, including private offices and all other meeting rooms.

AGENCY IMPLICATIONS:

The committee recognizes that the Library's revised smoking policy will have Library wide implications for both smokers and non-smokers In recognition of this we have identified some concerns that should receive full consideration and analysis in planning for implementation of the new policy if accepted. These concerns fall into two general categories, implementational and consequential.

IMPLEMENTATIONAL CONCERNS:

1. Delayed implementation - The committee recommends a six-month delay between announcement of the new policy and implementation

2. Enforcement - How the policy will be enforced and who will be responsible for enforcement will need full consideration.

3 Resentment and/or reluctance to comply - Expect smokers to be verbal and active in their chagrin.

UNITED STATES GOVERNMENT

Memorandum

LIBRARY OF CONGRESS

TO . Ellen Hahn, Chair
Management and Planning Committee

DATE: May 18 1988

FROM : Sandra Baumgardner, Chair SAB
Committee on Smoking

SUBJECT · Final report and draft revision of Library of Congress Regulation 1817-7

As requested in your memo of May 4, 1988, attached is a revision of LCR 1817-7 and a report representing the collective wisdom of the Committee.

Although the draft Regulation has been endorsed by the majority of the Committee, strong sentiment has been expressed that the policy statement be modified to incorporate the phrase "smoke-free work environment." It was decided not to include this language in the Regulation because the phrase was ambiguous and subject to misinterpretation

The Committee felt that a smoke cessation program should be mounted during the six month delay in implementation, however, data was not available in sufficient time to incorporate any substantive proposal in the report. The Health Services Office will submit a supplementary document making specific smoke cessation program recommendations.

Thank you for entrusting such a sensitive issue to me. I hope that the re lts support the principle that participative management can produce appropriate results without threat of labor/management negotiations and animosity I enjoyed the experience and look forward to additional challenges

Attachment

4. Complaint redress - Identify an office or individual to receive and address problems and/or complaints.

5. Special area consideration - Certain areas such as congressional reading rooms and AOC offices and shops will need individual consideration

6 Signage - Location and increased number of smoking and non-smoking signs will need consideration.

7. Bargaining - The new policy will represent a change in past practice and a change in working conditions both of which raise a bargaining obligation with Library labor organizations.

CONSEQUENTIAL CONCERNS:

1. Communication of related developments - How to inform staff of smoking cessation programs and results of surveys and studies such as the NIOSH pilot project.

2. Location of smoking areas - Determine how current smoking areas relate to staff needs in all Library buildings

3 After hours lounges - Consider break areas for non-smokers after the cafeteria and snack bar closes

4 Outdoor concerns - If there is an increase in outside smoking, it may require additional receptacles and area cleanup.

5 Indoor concerns - If there is increased use of designated smoking areas, consideration should be given to

provision of more fire resistant containers
safety procedures in designated smoking areas
ventilation of smoking areas.

6. Cost - The committee was unable to predict what might be the financial obligations associated with the recommended change in the LCR.

Subject: Smoking in the Library of Congress

Section 1. Purpose

This Regulation states the Library's policy and procedures concerning smoking in the Library of Congress.

Section 2. Policy

In consideration of the health and protection of the staff and the safety of the collections, smoking is prohibited in the Library of Congress except where the privilege has been extended by the Librarian.

Section 3. Designation of Smoking Areas

A. General Provisions

(1) Final responsibility for the designation of areas in which smoking shall be permitted rests with the Librarian. Members of the staff and visitors may smoke in areas where such permission to smoke has been given in writing by the Librarian or in areas specifically designated for this purpose as stated in this regulation.

B. Areas in which Smoking is Prohibited

Smoking is prohibited in the following areas

All work space, including private offices
Auditoriums, classrooms, and all other meeting rooms
Corridors, elevators, and lobbies
Bookstacks
Reading rooms and study facilities
Restrooms and lounges, except as designated by the Librarian
Government-owned vehicles

C. Areas in which Smoking is Permitted

Eating facilities (smoking and no-smoking areas shall be designated by the Librarian).
Restrooms and lounges as designated by the Librarian

Section 4. Responsibilities

A. The Safety Officer shall maintain the list of approved smoking areas

B. All staff shall exercise vigilance in this cooperative effort and management shall take necessary corrective action as required to assure that the working environment is as safe as possible. In designated smoking areas, the utmost care will be taken to dispose of matches, cigar and cigarette stubs, pipe ashes, etc Appropriate receptacles into which ashtrays shall be emptied are to be provided by the Supply Unit, Procurement and Supply Division, for this purpose.

C Infractions may result in disciplinary actions

Subject: Cafeteria

DOC 87

UNITED STATES GOVERNMENT

Memorandum

LIBRARY OF CONGRESS

TO : Dr. James H Billington
The Librarian of Congress

DATE. May 19, 1988

FROM Members, Cafeteria Committee

SUBJECT. Committee Report

We respectfully submit our attached recommendations for your approval.

Henriette D. Avram, ALPS, Chairperson

Gerald T. Garvey, Chief, LSSC

Joseph E. Ross, Director, CRS

Dennis M Roth
Dennis M. Roth, President, CREA

William J. Sittig, Director, Col Dev

Winston Tabb, Chief, Loan

CAFETERIA COMMITTEE REPORT

May 20, 1988

EXECUTIVE SUMMARY

The Committee's report considers five problem areas that have been raised concerning the operation of the Madison cafeteria: overcrowding during breakfast and luncheon hours, routes of access to and from the cafeteria, prices of food, quality of food, and cleanliness.

Cafeteria overcrowding is caused principally by heavy usage of organized tour groups. The Committee recommends that cafeteria use be restricted to Library employees, their guests, and other federal employees during the hours from 7:30 am to 9:00 am, and from 11:00 am to 12:30 pm. These restrictions may have the effect of eliminating tour groups as users, with a possible loss of income to the vendor, and a resulting increase in prices or reduction in service.

On the routes of access problem, the Committee believes that the recommended restricted usage will substantially alleviate the excessive demand for central core (gold) elevator service and noise and congestion in the central lobby of the sixth floor. If this belief proves ill-founded, the Committee recommends procedures to redirect cafeteria-bound visitors to the red core elevators.

As to food prices and quality, the Committee believes that they are comparable to those of other government cafeterias, with a diversity of food products, both hot and cold, and with a variety of presentation. The Committee recommends continuance of current daily special and theme offerings, and the installation of a breakfast griddle on the serving line

Unclean conditions at lunchtime and in the afternoon may be alleviated if fewer organized tour groups use the cafeteria. The Committee nevertheless recommends that the vendor take certain steps to improve cleanliness of the facility. It also recommends the updating of some of the equipment, especially the dishwasher.

The Committee also recommends longer term evaluation of the cafeteria, including food quality, diversity and pricing, by way of financial and operations audits, the issuance of an RFP to determine if another vendor can do better than ARA, and the establishment of a joint labor-management committee to monitor the cafeteria operations.

CAFETERIA COMMITTEE REPORT

INTRODUCTION

Documents consisting of informal opinion surveys solicited by CREA, Copyright Office, and the MAP Committee, noting the problems of the Library of Congress (LC) Madison cafeteria were turned over to the committee by Dennis Roth, Michael Pew and Winston Tabb. After review by Committee members, it was determined that the problems could be categorized into five principal areas of concern--overcrowding of the cafeteria, routes of access to the cafeteria, prices of food, quality of food, and cleanliness. These are each addressed in separate sections below. In addition, in order to avoid unnecessary delays in implementing any changes, short term as well as long term approaches to solving the problems are proposed.

It is important to recognize that there is no perfect solution to all the problems given above, i.e., if we solve the problems of the crowds, this could result in loss of income for the cafeteria and a need to raise prices. The Committee considered that overcrowding was the principal and most urgent problem and therefore determined it must be solved at perhaps the expense of not solving to everyone's satisfaction, other concerns.

OVERCROWDING

Overcrowding was identified as the key problem because it touches all the areas of concern. The solution of restricting use of the LC cafeteria by time and type of user carries a potential of reduced services or increased prices, or some combination of these two elements.

The Committee adopted ARA's four user categories for identifying types of users -organized tour groups, tourists, visitor scholars and congressional staff, and LC staff. The tour groups and tourists are the chief contributors to the problem of overcrowding. To distinguish between tour groups and tourists, the Committee noted the former usually arrive by the bus load, and may have prior arrangements with ARA, while the latter are not organized and their numbers are unpredictable.

Among alternative solutions, the Committee considered reserving a portion of the cafeteria for exclusive staff use, but it was felt that this would not solve the problem of overcrowding. It also considered restricting cafeteria use to LC staff, but felt the exclusion of other federal workers would be impolitic and extreme. The Committee decided the best solution would be to control access through assigning hours of use by LC staff, their guests, and other federal employees. The technique proposed to enforce this control is via inspection of identification passes.

Exactly what the nature of the impact would be can only be estimated, and depends largely on the decisions management would make on staffing and price levels. The final results would not be known until sometime after the changes were implemented, due to the cyclical nature of cafeteria use by the public.

The ARA operation equates the "cost" of each cafeteria employee to $40 000 in sales, i.e., $20,000 in average annual salary, and $20,000 in overhead costs are funded by $40,000 in sales. The data is based in part on projections by ARA and therefore is an estimate. Appendix A gives the contribution of the impact of reduced sales. It is important to note that the figures given in Appendix A are estimates, and projections based in part on estimates. Pages one and two of the appendix were developed by Processing Services based on data provided by ARA and LSSO, which are given on pages three and four. In the best-case scenario, if only tour groups were excluded, lost revenue is estimated at $242,108. It could require a staff reduction of 6 persons, or a price increase of 8 percent. Another possibility could be a staff reduction of 3 persons and a price increase of 12 percent. In the worst-case scenario, $660,955 in lost sales to tourists and tour groups (See Appendix A) equals approximately 16 cafeteria staff released or a 25 percent increase in price.

RECOMMENDATION

1) Breakfast from 7 30 am to 9:00 am, and lunch from 11.00 am to 12.30 pm, are proposed times for restricted use of the facility by LC staff, their personal guests, and other Federal employees. Specifying 9:00 am to 10:30 am and 12:30 pm to 3.00 pm for use by the general public would reduce overcrowding.

2) A minimum of two staff would be required for checking the passes of users during restricted hours. It is suggested that lower-grade staff be assigned to checking identification passes but if funds are not available, that LC Police be considered.

3) It is further proposed that if these recommendations are approved, LSSO will plan and implement the changes.

ROUTES OF ACCESS TO THE CAFETERIA

The Committee believes that restricting cafeteria access to LC Staff, their guests, and other federal employees between the hours given above should substantially alleviate the overcrowding of the cafeteria at other times during the day and also the related problems of excessive demand for central core (gold) elevator service and noise and congestion in the central lobby of the sixth floor. If this belief proves ill-founded, however, the Committee proposes the following recommendations be investigated.

RECOMMENDATION

1) Place prominent signs in the Madison lobby to direct cafeteria-bound visitors to proceed east to the blue core, then south to the red core elevators, or if this route is excessively disruptive to readers and staff in the Newspaper and Current Periodical Reading Room, direct tour groups (and perhaps other visitors to the 2d and C Street entrance, which could be opened 12:30 pm to 3:00 pm daily. Library police on duty in the Madison lobby would help keep crowds away from the central elevators.

2) Program the red core elevators for express service between the first (or ground--depending on the option chosen in 1 above) and sixth floors from 12:30 pm to 3:00 pm.

3) Place signs on the sixth floor to direct visitors from the elevators to the cafeteria and back.

PRICES AND QUALITY OF FOOD

The Committee finds that there is a satisfactory quality and fair pricing of food in the cafeteria with a diversity of food products, both hot and cold, and with variety of presentation. See Appendix B for a sample price comparison between the Library's cafeteria and other area cafeterias.

It must be recognized that the cafeteria cannot be expected to provide gourmet foods. Quality suffers, however, when large tour groups overburden the production capacity. There are too many occasions in the latter part of the breakfast and lunch periods when little selection is available. These problems will be resolved for the most part with reserved periods of access for LC staff, their guests, and other federal workers. To improve the quality of service, the following are proposed.

RECOMMENDATION

1) The cafeteria should continue to provide daily specials, taking advantage to the greatest extent possible of seasonal availability. The theme offerings such as Hispanic Heritage and Black History Month provide additional interest and variety and should be continued.

2) The Committee believes that substantial improvement in the quality of breakfast service can be made by installing a griddle on the serving line. The Architect of the Capitol has consistently opposed this proposal citing difficulties designing adequate ventilation. A griddle will allow cooking "to order" items which are now prepared in the kitchen and brought forward in batches.

CLEANLINESS

A frequent complaint of LC employees is that the