



National Commission
on Libraries and Information Science

COMMISSION DOCUMENT #79-56.1

MINUTES

NCLIS Commission Meeting
May 17 and 18, 1979
Evanston, Illinois

- MEMBERS PRESENT : Joseph Becker; Frederick Burkhardt, Chairman-Emeritus; Robert Burns; Carlos Cuadra; Clara Jones; Marian Leith; Bessie B. Moore; Frances Naftalin; Philip Sprague; Horace Tate; John E. Velde, Jr.; William Welsh (for Daniel Boorstin); Mildred Younger; and Charles Benton, Presiding
- STAFF PRESENT : Alphonse F. Trezza; William Mathews; Douglas Price; Mary Alice Hedge Reszetar; Ruth Tighe; Ruby O. Woods-Robinson; Carl Thompson; and Barbara K. Cranwell, Recording Secretary
- WHCLIS STAFF PRESENT : Marilyn Gell; Vera Hirschberg; and Jerry Manolatos
- GUESTS/OBSERVERS : Gordon Williams, Director, Center for Research Libraries; David King, President, Illinois Chapter, Special Libraries Association; Paul DiMauro, Evanston Public Library, Illinois Library Association; Shirley Echelman, Medical Library Association; Peggy Barber, American Library Association; Pat Harris, ALA; Chris Bailey, University of Chicago, Student; Charles Perkins, Infodata, Inc.; James Riley, Executive Director, Federal Library Committee; Scott Webb, Kyle, Stokes, Inc.; Beverly Lynch, University of Illinois at Chicago Circle; Charles B. Osburn, Northwestern University; Richard M. Dougherty, University of Michigan; John Berry, Editor, Library Journal; Art Plotnik, Editor, American Libraries; Howard Dillon, University of Chicago; Paul Zurkowski, Information Industry Association; Elizabeth Ryan, Federal Reserve Bank of Chicago; Carole Stallcup, Bell and Howell; Peter E. Yankwich, University of Illinois; Ernest Campbell, Vanderbilt University; Carol A. Risher, Association of American Publishers; Zelga Schifffenbauer, Illinois Regional Library Council; Jean Baron, Assistant to Charles Benton; Jean W. Sacks, University of Chicago Press, AAUP Journals Committee; Allan Wittman, Wiley and Sons; Marlene Hurst, University Microfilms International; Joseph Fitzsimmons, University Microfilms International; Barbara Turlington, Association of American Universities; Suzanne O. Frankie, Association of Research Libraries; Robert R. McClarren,

GUESTS/OBSERVERS : Chairman, NCLIS Advisory Committee on a National
(continued) Periodicals System; Lois Pearson, American Libraries,
Robert Wedgeworth, Executive Director, ALA;
Jeffrey T. Schwedes, Association of College and
Research Libraries; Jo Ann Aufdenkamp, Federal
Reserve Bank of Chicago Library; Clarence Ver Steeg,
Graduate School, Northwestern University; and
Mary T. Drazha, Blue Cross and Blue Shield,

Thursday, May 17, 1979

The Chairman called the meeting to order at 9:00 a.m.

New Members Confirmed

The Chairman announced that on May 14, 1979, the Senate confirmed the three Presidential nominees as NCLIS Commissioners. Mrs. Bessie B. Moore has been reappointed; her new term will expire on July 19, 1983. Dr. Francis Keppel, Director of the Aspen Institute Program in Education for a Changing Society, and Mr. Philip Sprague, Director and Member of the Executive Committee of the Milton Roy Company, St. Petersburg, Florida, were also appointed for terms that will expire on July 19, 1983.

Agenda

The Chairman reviewed the agenda, which was accepted as submitted.

Minutes

In an effort to make the official minutes of the NCLIS meetings as complete and comprehensive as possible, several suggestions were made and accepted:

- (1) Highlight action items;
- (2) Include action items as well as formal motions which have been referred to Commission Committees;
- (3) Review of draft minutes by the Executive Committee; and
- (4) The tapes of the previous meeting will be available at the next meeting of the Commission.

FORMAL
ACTION

It was MOVED by Philip Sprague, seconded by Robert Burns, that the Minutes of the March 8 and 9, 1979, NCLIS meeting be accepted as submitted. Passed unanimously.

White House Conference on Library and Information Services--Status Report

Ms. Marilyn Gell, Director, WHCLIS, distributed copies of the staff report which had been presented to the newly-constituted WHCLIS Advisory Committee at their first meeting held May 8 and 9, 1979. Ms. Gell stated, "I am convinced that this Conference is occurring at a very auspicious time. We are moving into a society where information is of crucial importance, and recommendations from the Conference may be significant far beyond what is anticipated."

Ms. Gell reported that the new date for the Conference is November 15-19, 1979, and the new location is the Washington Hilton Hotel. All of the state and territorial conferences have been held as of April 30. The Theme Conference on Literacy was held in April.

WHCLIS Advisory Committee Meeting

The Chairman reported that the first meeting of the reconstituted Advisory Committee was a very successful meeting and that the Members are "outstanding." Plans have been made to involve the Advisory Committee in substantive ways, such as subcommittees.

The discussions during the May 8 and 9 meeting of the WHCLIS Advisory Committee produced a number of recommendations which were reviewed and approved by the Commission:

--Delegate Selection: The following four categories of conference participants were recommended--

Official voting delegates (675)*

Alternates (238)

Official observers (open: at least 150)

Observers (open)

* Voting delegates include the 568 state and territorial delegates, 105 at-large delegates and two from the Federal library community.

It was recommended that the official voting delegate category be increased by two, and that these two new positions be earmarked specifically for representatives of the Federal library community.

FORMAL
MOTION

It was MOVED by Marian Leith, seconded by Robert Burns, to approve the four categories of delegates: voting delegates, alternates, official observers, and observers, and two new voting delegate positions for representatives of the Federal library community. Passed unanimously.

--Official Observers: As recommended by the WHCLIS Advisory Committee--

FORMAL MOTION It was MOVED by Philip Sprague, seconded by Clara Jones, that:
 (1) The terminology "non-voting at-large delegate" be changed to "official observer," and that this category will include representatives of organizations and dignitaries; (2) that official observers' expenses not be covered by White House Conference funds, with the exception of Members of the National Commission and WHCLIS Advisory Committee; and (3) that official observers will be accommodated at the Conference on a first-come, first-served basis, but will be given preference over general observers. Passed unanimously.

ACTION ITEM At the request of Mrs. Younger, the WHCLIS staff will obtain the policy and regulation from the Internal Revenue Service for tax deductions in connection with attending the White House Conference.

--Delegate Preparation: As recommended by the WHCLIS Advisory Committee--

FORMAL MOTION It was MOVED by Clara Jones, seconded by Robert Burns, to make available to White House Conference delegates and alternates the widest possible range of issues and viewpoints on subjects related to the WHCLIS through materials received in quantities of at least 1500 copies from groups or individuals and distributed at the Conference. Materials disseminated in this manner will carry a cover note indicating that distribution by the WHCLIS office does not constitute endorsement of the opinions and ideas contained therein.

Further, it was MOVED by Bessie Moore, seconded by John E. Velde, Jr., that all material distributed by the White House Conference office be properly marked for identification purposes and labeled "official."

Dr. Cuadra suggested that staff should be alert to requests for lists of names and addresses of conference participants, and take steps to assure that responses would be in conformance with the Freedom of Information Act.

Ms. Gell reported that another suggestion of the Advisory Committee was, if possible, that each delegate be contacted by telephone by WHCLIS staff as one means of assuring adequate delegate preparation.

Mrs. Younger stated that the Los Angeles City Board of Library Commissioners, which has one of the largest constituents of trustees in the entire country, was not represented at the California State Conference and knows nothing at all about the White House Conference. Her concern, in particular, is that many other lay groups--who have a great deal to contribute--may not, in fact, be aware of the upcoming conference. Ms. Gell responded that the states make their own delegate selections, and that the Advisory Committee will "fill in the gaps" with the 105 at-large delegates. Dr. Cuadra also stated his concern that there are few, if any, information scientists involved in the Conference.

--WHCLIS Exhibit: Ms. Gell reported that there are no WHCLIS funds available for exhibits. Specific concerns of a conference exhibit are: (1) whether or not it is appropriate (or even legal) for a Federal agency to sponsor an exhibit which includes competing interests from the private sector, and from which it may benefit commercially; (2) whether or not it is appropriate to charge exhibit participants for space; and (3) whether or not to design the exhibit so that it can be transported for use by other groups following the White House Conference.

Mr. Becker stated that there are 45,000 square feet of space in the exhibit hall which would contain such activities as orientation, a conference information center, a theatre; a press conference/lounge area; a childrens' library; and an information bazaar. Mr. Becker has been working closely with the WHCLIS staff on the exhibit plan and ideas, and presented slides detailing various display possibilities.

As recommended by the WHCLIS Advisory Committee--

FORMAL
MOTION

It was MOVED by Robert Burns, seconded by Mildred Younger, that the staff be authorized to move expeditiously toward planning the theme exhibit, subject to the availability of necessary funds. If unrestricted corporation donations cannot be obtained, the staff is further authorized to mount trade exhibits.

Mr. Sprague stated that a good exhibit would make the difference between an ordinary conference and a really exciting one. Dr. Cuadra urged that people who know how to teach be in charge of demonstrating the equipment. Dr. Burkhardt recommended that they be from near-by universities. It was noted that the Library of Congress, the Federal Library Committee, and the American Library Association have all volunteered services of professionals in this regard.

Mr. Velde volunteered to serve as Chairman of a Fund-Raising Committee to try to raise the needed \$500,000 for the Conference exhibit.

--WHCLIS Program: Ms. Gell announced that both the WHC Advisory Committee and NCLIS will need to take formal action to approve the draft conference rules at the joint meeting in September 1979; the rules must be published in draft form in a September 1979 issue of the Federal Register and in final form in an early October 1979 issue of the Federal Register.

--Theme Conferences: Two additional theme conferences are being planned: (1) Telecommunications Technology to be held in June; and (2) International Information Flow. Additional information will be provided when available.

Meeting of Association Representatives

On May 30, 1979, more than 60 Executive Directors and Presidents of library and information associations will meet for two days in Washington, D.C. The meeting is being co-sponsored by the American Society for Information Science and the White House Conference. The participants will discuss ways and means for involving each association in the Conference process; develop substantive issues to be discussed at the Conference; and lay plans for implementing the recommendations of the Conference. The association heads will meet again in July to further discuss the details of their involvement in the Conference.

Request for Supplemental WHCLIS Funding

Ms. Gell asked the Members to consider supplemental WHCLIS funding. After discussion:

FORMAL
MOTION

It was MOVED by Philip Sprague, seconded by Joseph Becker, that supplemental appropriation for \$750,000 be submitted to Congress for implementation and follow up of White House Conference recommendations.

Mrs. Moore, Mr. Velde, Mrs. Leith, Mr. Welsh, and Mr. Trezza cautioned the Members that this request could have serious repercussions in the continuing existence of the National Commission. Ms. Gell noted that she was making this suggestion with the advice and good counsel of Mr. Jack Duncan, a former member of Congressman Brademas' staff. After listening to the reservations of some of the Members, Ms. Gell stated, "It is my sense that the majority of the Commissioners feel that it is inappropriate to request a supplemental appropriation. The comments made about the impact of such a step lead me to suggest the subject be dropped." At this point, Mr. Sprague withdrew his motion--with reluctance--and Mr. Becker, as the seconder, agreed.

Conference Flow

Ms. Gell asked each Member for input, suggestions, and recommendations for speakers, discussion group leaders, moderators, dignitaries, resource persons, workshop chairmen and vice chairmen, conference chairman, and miniplenary chairmen.

A unique telecommunications technique developed under the sponsorship of the National Science Foundation enabling a group to converse and make decisions through computer-assisted conferencing will be employed by each Member of the Advisory Committee, Ms. Gell announced. The computer-conferencing project is being sponsored by NSF's Electronic Information Exchange System (EIES) program and Texas Instruments, Inc., which is providing the group with 30 portable Bubble-Memory Terminals.

Master NCLIS/WHCLIS Calendar/Schedule

Dr. Cuadra suggested, and the Members agreed, that there is a definite need for a master NCLIS/WHCLIS calendar/schedule to keep Members and staff aware of on-going meetings of interest and to avoid scheduling conflicts. This calendar/schedule would be updated weekly (or as often as changes and additions make it necessary). Members are requested to inform NCLIS and/or WHCLIS staff of meetings which should appear on the calendar/schedule.

WHCLIS Fiscal Report

After presentation of a fiscal review of WHC records by Mr. Scott Webb of Kyle, Stokes and Company, an accounting firm--

FORMAL
MOTION

It was MOVED by William Welsh, seconded by Marian Leith, that the Executive Director assume responsibility for reconciling reported WHCLIS/U.S. Office of Education fiscal discrepancies, reporting findings, and submitting a status report on this finding to the Commission within thirty (30) days. Passed unanimously. (Note: Staff has interpreted this to mean 30 working days.)

Public Information Committee--Report

Mrs. Jones, Chairman, Public Information Committee, reported on the meeting of her Committee held Wednesday afternoon.

The Committee discussed "Community Information and Referral Service." Mrs. Jones stated, "This system would make libraries practical and usable to everybody. Its worth, value and impact have been demonstrated." Dr. Cuadra agreed with Mrs. Jones adding, "This could have a most profound impact on what libraries ought to be, and it is of major importance to us. It is time to get at this systematically." Dr. Cuadra suggested this topic be discussed at the proposed NCLIS Special Meeting.

ACTION
ITEM

A draft NCLIS Procedures Manual, prepared by Ms. Tighe, was distributed and Members were requested to review the draft and to make comments, suggestions, changes, etc., as soon as possible. These comments should be sent to the NCLIS office.

ACTION
ITEM

One suggestion of the Public Information Committee required Commission action, and after discussion--

FORMAL
MOTION

It was MOVED by Philip Sprague, seconded by John E. Velde, Jr., to use NCLIS funds for White House Conference public information activity. Passed unanimously.

For a full report of the Public Information Committee meeting, see Attachment A, Minutes.

Mr. Charles H. StevensFORMAL
MOTION

It was MOVED by Bessie Moore, seconded by acclamation, that, as suggested by Dr. Frederick Burkhardt, Chairman-Emeritus, the Commission adopt a resolution in honor of Mr. Charles H. Stevens, former NCLIS Executive Director, who recently passed away. Adopted unanimously.

ACTION
ITEMProgram Committee--Report

Mr. Becker, Chairman, Program Committee, reported that the Committee's discussion centered on: (1) existing NCLIS program commitments and their cost; and (2) review of program plans for fiscal year 1980-81.

ACTION
ITEM

During the meeting, Mr. Sprague the idea of a "retreat-type" meeting of NCLIS Members and staff to discuss, in particular, ideas, problems, and concepts, as well as the broad goals, of both the Commission and staff. The Members responded favorably to Mr. Sprague's suggestion and agreed to consider it during the Commission meeting when the discussion on NCLIS activities and priorities takes place.

For a full report of the Program Committee meeting, see Attachment B, Minutes.

Research Committee--Report

Dr. Cuadra, Chairman of the Research Committee, reported that the Committee's meeting agenda dealt with two priorities: (1) to identify and confirm members to serve on the Task Force on the Public/Private Sector; and (2) to determine appropriate next steps toward the proposed National Periodicals Center.

For a full report of the Research Committee's meeting, see Attachment C, Minutes.

The meeting was adjourned at 5:00 p.m.

Friday, May 18, 1979

The meeting was called to order at 8:45 a.m. by Chairman Benton. Mr. Benton then turned the gavel and the chair over to Dr. Cuadra for the discussion of the proposed National Periodicals Center. Dr. Cuadra asked the guests and observers to introduce themselves.

National Periodicals Center

In his opening statement, Dr. Cuadra said, "Over the past six years there have been many studies conducted and many papers presented on the need for better access to full text copies, as opposed to only citations to needed periodical materials. The advent and success of on-line bibliographic service has, if anything, made the problem worse by enabling users to identify a wide range of materials of potential relevance that they might not otherwise have found, using only manual means.

Dr. Cuadra noted that "the current interlibrary loan system, which most of you understand far better than I, has been described as quite inadequate to deal with the growing problem. This is one of the various means that has been used to address the problem. There are also a number of document-provision services run by organizations in this room, as well as private sector organizations. The one thing on which there is universal agreement is that there is room for improvement--in the speed, quality, and the other aspects of the document-provision service that we now have.

"Over the past six, or longer, years a number of organizations, most notably the Association of Research Libraries, have been studying the periodicals access problem, and we have the benefit of results and conclusions from a number of studies. There has been additional work, some of it based in part on earlier studies, that has led to specific proposals to establish a National Periodicals System, beginning with a National Periodicals Center, which is a component of that System. The character, size and location of that Center are not yet precisely defined, but it has been generally assumed that establishing it and operating it, at least initially, will require Federal funds and Federal legislation.

"We, in the NCLIS, have encouraged this work and, in some cases, supported the work relating to the NSP and Center concept. We have helped to bring together some of the groups that feel they have a major stake in the outcome of the proposals that are currently being advanced. The Open Forum that some of you attended and which is described in the current issue of Library Journal left no doubt that there are controversial aspects to the NPC, as well as areas of common agreement. The area of strongest agreement that ought to be indicated at the outset is that the problem of access to periodicals is a very important one and that it merits serious, concerted, and timely effort to achieve an acceptable solution.

"Since, as Charles said, many of you were not at the Open Forum and may not have read the Library Journal, you do need more context than I have just provided or, perhaps, you have obtained on your own and, therefore, the Research Committee has asked Bob McClarren, who is the Chairman of the Advisory Committee on a National Periodicals System, to bring us up to date on the activities of the Advisory Committee and such other matters as he would want to bring to our attention."

Robert McClarren: "The Advisory Committee is under the impression that this is a first--that is, in which one of the Commission's Committees has been given the honor and the opportunity of talking directly with the Commission. We think this is a very contributory activity, and we hope that it continues, particularly with the variety of the changing personnel of the Commission. It is important that we identify personally and have an opportunity for interchange on both a formal and informal basis. We commend the Committee's chair for suggesting that the Advisory Committee come and talk with the Commission. It is a positive action which we wholly appreciate and endorse.

"It is appropriate, I think, to give, again, some brief history about the points leading to where we are. This has been covered, as indicated in the press, but we notoriously are among the worse users of our own literature. I commend you, again, to ask your friendly librarian for documentation to help identify background and fuller coverage where necessary.

"With the adoption by the Task Force and the Commission of the recommendations in the Task Force Report, Effective Access to the Periodical Literature: A National Program, in May 1977, the Task Force went out of existence. It was replaced a year or so later, as recommended, by the Advisory Committee on a National Periodicals System. The Committee, in its initial meeting, reviewed its responsibility and recognized that the second level of the three-level recommendation for a NPS had the initial priority and the Advisory Committee turned its attention immediately to it. There was, at that point, an assumption which carried over from discussions out of the Task Force that the Library of Congress would play a central role in the development of a NPS and would be initiating action at the periodical center level. However, political and other events changed the course of that, and the Committee found that it would not have a built-in agenda based on that assumption and, so, needed to move with dispatch in other areas. In this acceleration, it was felt that a forum to bring the library community and the private sector which was interested in this development up to date would be called, and this was held in the middle of March. The Advisory Committee met immediately following the forum, and adopted a resolution which has been transmitted to the Commission and which it is appropriate to recall at this point:

The NCLIS Advisory Committee on the National Periodicals System supports the recommendations of the Open Forum held March 19 and 20, 1979. The Committee recommends that NCLIS now issue a current Commission position on a National Periodicals Center. Such a statement would update the June 1977 position expressed in the Report, Effective Access to the Periodical Literature: A National Program, and reflect subsequent contributions from various library and information service groups and associations, from the Technical Development Plan, and, most particularly, from the conclusions of the Open Forum.

The 1978 Technical Development Plan, prepared by the Council on Library Resources at the request of the Library of Congress, was not endorsed by the Open Forum or the Advisory Committee, but is appreciated as a useful contribution toward development of a National Periodicals Center.

The Advisory Committee reasserts its strong support for the National Periodicals System and believes that the library and information community is ready for positive steps toward a National Periodicals Center as an integral part of that System.

(Note: This resolution is part of the Minutes of the Advisory Committee held March 20 and 21. The full minutes will be officially approved by the Advisory Committee at its July meeting.)

"The Committee, in pursuing its agenda to support an affirmative response by the Commission on this request, determined several courses of action in a schedule. The initial one was to prepare draft legislation. This, in the eyes of the majority of the Committee at least, would be seen as a vehicle for eliciting the kind of response that we are getting--that is, to see how diverse the points of view may be, what alternate suggestions may be appropriate, what kind of response the organizations which have a major concern in the development of a National Periodicals System, and specifically a National Periodicals Center, would have. It was to be distributed with a summary of the rationale and a bibliography to support it and would then be sent to the broad audience of organizations and anyone else who was interested for reaction within the next 90-120 day period.

"We prepared extensive supportive documentation for the position of the Advisory Committee which would be ready at the time that the input from the various groups which had reacted to the draft legislation. This would be prepared, then, as the basis for a final draft from the Committee for presentation to the Commission at its early fall meeting for its action at that point. Upon approval, of course, it would be introduced into the Congress and the actions would continue to elicit modification and change as it went through the political process.

"There has been a great deal of discussion about the draft proposal. In my own view and from experience in many states working with legislation, this is the contentional approach to being sure that there is a vehicle to react to by representatives of the various points of view. Experience would indicate that when a very slim proposal is presented, you do not exhaust the possibilities of opposition or contribution to the success of the objective. The Committee immediately authorized a drafting committee covering the full range of interest in such legislation and prepared a draft legislative proposal which, I believe, has been distributed to the Members of the Commission and is ready to be distributed to the various organizations for their reactions. This was awaiting this meeting, which altered slightly the Committee's assumption of action.

"The draft is still subject to many, many changes. I would underscore that from the Committee's point of view, the draft developed by this broad Committee is for purposes of discussion. It incorporates what the Committee thought to be the general tenor of direction, but is not specifically approved by the Committee at this point. It is a vehicle for discussion."

The Chairman then invited statements from the floor:

Ernest Campbell, Dean, Graduate School, Vanderbilt University, and Chairman of the Board, Center for Research Libraries--See Attachment D.

Richard Dougherty, Director of Libraries, University of Michigan--See Attachment E.

Joseph Fitzsimmons, President, University Microfilms International--See Attachment F.

Carol Risher, American Association of Publishers--See Attachment G.

Clarence L. Ver Steeg, Dean, Graduate School, Northwestern University--See Attachment H.

Peter Yankwich, Vice President for Academic Affairs, University of Illinois--See Attachment I.

Robert Wedgeworth, Executive Director, American Library Association--See Attachment J.

Jean W. Sacks, University of Chicago Press--See Attachment K. (Note: For the record, Dr. Burkhardt expressed his disagreement with Mrs. Sacks' views.)

Paul G. Zurkowski, President, Information Industry Association--See Attachment L.

Suzanne Frankie, Association of Research Libraries--See Attachment M. (Note: This statement was distributed but not presented orally.)

After considerable discussion on the proposed National Periodicals Center--

FORMAL
MOTION

It was MOVED by Marian Leith, seconded by Clara Jones, that the Commission:

- (1) Endorse, in general, the concepts articulated in the draft NPC legislative proposal of April 26, 1979;
- (2) Encourage the continuing activities of the NPC Advisory Committee, in particular, the preparation of background documents and the collection of further input from interested groups; and

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- (3) Without delay, commence an intensive effort to develop specific, precise, and detailed determinations on the following matters related to the National Periodicals Center:

- (a) Cost;
- (b) Performance;
- (c) Private sector involvement;
- (d) Technical configuration;
- (e) Impact of technology;
- (f) Possible phasing of implementation; and
- (g) Relation of the NPC to other components in the National Periodicals System.

The motion was passed unanimously.

ACTION ITEM During discussion of the draft legislative proposal, it was agreed that the following words: "For discussion purposes only," be clearly placed on the cover page. Dr. Cuadra asked Mr. Robert McClarren, Chairman of the Advisory Committee on a National Periodicals System, "Is the present legislative draft supported by the Advisory Committee?" Mr. McClarren replied, "The drafting committee agreed, and it is substantially the agreement of the drafting committee. A few comments were received from the Advisory Committee; however, there were no objections."

NCLIS Activities and Priorities

The Members discussed NCLIS' on-going and future activities and ranked them in order of priority, including cost estimates.

After discussion--

FORMAL MOTION It was MOVED by Philip Sprague, seconded by Carlos Cuadra, that the following NCLIS activities be undertaken in order of priority and in the amounts committed as listed:

(1) NCLIS Special Meeting (July)	\$20,000*
(2) National Periodicals Center	30,000
(3) WHC Public Information Activity	24,000
(4) Cultural Minorities	3,500
(5) Committee Meetings	10,000
(6) Z39	<u>10,000</u>
	\$97,500

* Mr. Trezza suggested St. Croix, U.S. Virgin Islands, as an appropriate setting for a retreat. Several Members raised questions about the costs but were advised by Mr. Trezza that the lower hotel rates in summer would off-set the higher airfare. The Chairman suggested that the Members consider accepting a lower rate of pay, however, this was not pursued. NOTE: On July 10, 1979, it was decided not to hold the meeting in St. Croix. The meeting was transferred to the Washington, D.C., area.

Two other activities (MARC project--\$30,000, and Project Media Base Implementation--\$5,000) are to be reconsidered at a later time for possible funding in fiscal year 1980. Passed unanimously.

Center for Research Libraries

Mr. Gordon Williams, Director of the Center for Research Libraries, was invited by the Commission--at the suggestion of Mr. Burns--to present a brief history and update of the Council. Mr. Williams spoke from a prepared paper, which is included as Attachment N.

Mr. Williams then answered questions from the group. He, again, invited Commissioners and staff to visit the Center, urging, "Come visit and see that the importance of materials and infrequency of use are not synonymous."

Revision of the Higher Education Act

FORMAL
MOTION

It was MOVED by Philip Sprague, seconded by Frances Naftalin, to support the revision of the Higher Education Act, as outlined in the Executive Director's memorandum dated May 15, 1979. Passed unanimously.

Annual Report, 1977-78

FORMAL
MOTION

It was MOVED by John E. Velde, Jr., seconded by Marian Leith, that the 1977-78 Annual Report be delivered to the Government Printing Office for printing and publication. Passed unanimously.

Title 44

ACTION
ITEM

By general agreement, the Research Committee will conduct a conference call to discuss the brief paper on the revision of Title 44: United States Code "Public Printing and Documents."

Sprague Appointed to WHCLIS Advisory Committee

ACTION
ITEM

As Chairman of NCLIS, Mr. Charles Benton appointed Mr. Philip Sprague to serve on the WHCLIS Advisory Committee as one of three Commission Members. (Mrs. Moore and Mr. Velde are currently serving.)

Future Agenda Items

ACTION At the request of Mrs. Naftalin it was agreed to discuss the relationship
ITEM of the recommendations from the White House Conference to the Commission,
perhaps at the September meeting.

ACTION Discussion of "Community Information and Referral Service," was requested
ITEM by the Public Information Committee, during the special meeting in July.

Chairman Remarks

The Chairman thanked the Commissioners and staff for their hard work and stated that, in his opinion, a good deal of progress has been made.

The meeting was adjourned at 4:00 p.m.



National Commission
on Libraries and Information Science

MINUTES

Public Information Committee
May 16, 1979
Evanston, Illinois

Commissioners Present: Clara Jones, Chairman; John E. Velde, Jr.;
and Charles Benton

Staff Present : Mary Alice Hedge Reszetar, Staff Liaison;
Marilyn Gell, Director, WHCLIS; Vera Hirschberg,
Public Affairs Coordinator

The Chairman opened the meeting, Mr. Velde MOVED that the minutes of the last public information meeting be accepted. The members of the Committee voted to do so.

Vera Hirschberg distributed the White House Conference Update, Volume 1, Number 2, May 1979. Mrs. Hirschberg also distributed the Public Relations Plan for the White House Conference.

Mary Alice Hedge Reszetar reviewed her conversation with Sara Kadec at the White House Information Center concerning briefing kits on the White House Conference for the persons who use the White House Information Center. Mrs. Hirschberg and Mrs. Reszetar will meet with Jennifer Brant in the Office of Media Liaison of the White House when it is appropriate.

Mrs. Reszetar reported that Marilyn Gell had been successful in getting permission to use the Presidential Seal on the White House Conference Program, etc.

Mrs. Hirschberg showed the members of the Committee the new White House Conference poster and the order forms for the posters. There will be free advertisement in three of the monthly publications for library and information science professionals. She also read aloud a letter from Information World to Charles Benton regarding subscriptions for Commissioners and Advisory Committee Members.

The Commissioners discussed persons who should be involved in the White House Conference. Some names that came up were Barbara Jordan, Barbara Walters, Jesse Jackson, Bonnie Cashian, and Kathleen Nolan. Ms. Nolan might be of help in getting star participation. It was noted that she

is President of the Screen Actors Guild, and is a close friend of Nicholas Johnson's. Mr. Johnson is on the White House Conference Advisory Committee. The Committee felt that someplace on the WHC program there should be a humorous speaker.

Mrs. Hirschberg reported that press releases had been sent out on the appointments of Commissioners Sprague, Keppel, and Moore.

The Committee decided to recommend to the full Commission that a public information firm be contracted with to support the WHC public information project with NCLIS funds. The amount would be approximately \$24,000 and this firm would include reference to the National Commission on Libraries and Information Science at every available opportunity so the Commission's profile will be raised. The public information firm would coordinate through Mary Alice Hedge Reszetar and Vera Hirschberg.

The Committee recommended that there be a standard paragraph in each of the Commission's publications about the Commission.

The Committee suggested there be cards printed with information about the Commission and the Commission's publications, using the cards about the Education Commission of the States as an example.

The Committee looked at the suggested package of orientation information developed by Mrs. Reszetar and Ms. Tighe for new Commissioners. The Committee felt this would be helpful and suggested that this be distributed to the whole Commission for their ideas and comments.

Prepared by:

Mary Alice Hedge Reszetar

11 September 1979



National Commission
on Libraries and Information Science

MINUTES

Program Committee Meeting

May 16, 1979

Members Present: Charles Benton (part-time); Frances Naftalin; William Welsh; and Joseph Becker, Chairman

Staff Present : Alphonse F. Trezza; Douglas S. Price; Ruth Liepmann Tighe; William D. Mathews; and Ruby O. Woods-Robinson

Guests Present : Robert Burns and Marian Leith (Research Committee; Marilyn Gell and Jerry Manolatos (WHCLIS staff; part time); and Mary Jo Lynch (American Library Association)

Mr. Becker explained the two-fold purpose of the meeting: (1) to understand existing NCLIS program commitments and their cost; and, (2) to review program plans for the next fiscal year. The eight objectives of the program document guided past program policy, but Mr. Becker said they should be re-evaluated and that the Program Committee's findings would be presented to the full Commission.

Mr. Trezza pointed out that NCLIS was limited in the extent it could alter its fiscal year 1980 plans because the Commission had already testified at Congressional Appropriations Hearings. The following facts were set before the Committee: (1) documents describing the fiscal year 1979 financial picture (CD's #79-22 and 79-23; revised April 30, 1979); (2) maximum authorized appropriation provided to NCLIS (public Law 91-345) is \$750,000; (3) fiscal year 1979 appropriation was \$648,000 plus a pay supplemental for \$12,000 was the maximum NCLIS had ever received; and, (4) the budget for studies has ranged between \$120,000 and \$160,000 per year.

Mr. Becker introduced William Mathews, staff liaison to the Research Committee, who provided a rundown on basic project commitments and staff ideas for new projects and then discussed additional projects which were up for consideration. He described (1) a proposal from the Network Development Office of the Library of Congress for \$30,000 to help fund a revision of the MARC (MAchine Readable Cataloging) format; (2) a proposal from the Council of National Library and Information Associations requesting additional support in the amount of \$10,000 for the American National Standards Committee Z39 in response to an NCLIS Task Force recommendation; and (3) a third proposal for analyzing alternatives to a National Periodicals Center.

A discussion followed to determine what fiscal year 1979 and fiscal year 1980 funds were uncommitted. Mr. Trezza said it was too late to issue RFP's (those exceeding \$25,000) for FY 1979 funds, adding that only interagency transfers and small contracts were still possible.

Mr. Becker suggested that the Program Committee might establish policy by specifying that certain percentages of the available funds be set aside for open forums, rescue missions, research on technical problems, etc. Mrs. Leith demurred, pointing out that the Research Committee felt that the Program Committee should indicate the objectives and that the Research Committee should determine the resources required to meet these objectives. Mr. Becker encouraged discussion to develop a program rationale. Mr. Welsh and Mr. Trezza pointed out the urgency of making decisions upon which the staff could base the fiscal year 1981 budget proposal, due to be submitted in early September. Mrs. Naftalin expressed a desire to link the expenditures of fiscal year 1979 and 1980 to those for fiscal year 1981, indicating that she would like an assessment of where we stood with relation to our program. Mr. Becker suggested that perhaps the new program policy ought to be supportive of the recommendations of the White House Conference. Mr. Price advised that the fiscal year 1980 budget request had, indeed, included funds for meetings aimed at implementing White House Conference recommendations. If new directions came from the WHC, Mr. Welsh suggested that we go back to the Office of Management and Budget and Congress and ask for authority to reprogram.

At this point, Mr. Benton joined the group and Mr. Becker summarized the discussion. He repeated the key questions before the group: (1) What should our forward policy be with respect to support for fiscal year 1979 and 1980 programs? and, (2) What instructions should be given to staff to permit them to proceed with the budget process? He noted that the Committee seemed to be in agreement that the outcomes of the White House Conference should govern our future activities and that we could request reprogramming authority from OMB to do this in fiscal year 1981. More discussion then followed on the relationship between the Research Committee and the Program Committee.

Mr. Sprague asked if the Governance Document specified who set the budget. The budget, Mr. Trezza replied, was set by the Commission as a whole based on Program and Research Committee recommendations. Mr. Becker added that the Program Committee could, for example, stipulate what funds were available for reprogramming in support of White House Conference recommendations and that the Research Committee would then consider individual projects in that context. Mr. Burns said that as a member of the Research Committee, he would be comfortable with that. After some additional discussion, Mr. Becker offered the additional suggestion that the available funds might be turned over to the White House Conference, but Mr. Welsh and Mr. Trezza pointed out that this could not be done because of the prohibition against "augmenting" a specific appropriation. It was agreed that NCLIS would use whatever flexibility it had in fiscal year 1980 and 1981 to support the White House Conference recommendations.

The Committee then listed the projects which could be supported in fiscal year 1979:

2 Commission Committee Meetings	\$8,000
Cultural Minorities Effort	3,500
Media Base Implementation	5,000
MARC Revision	30,000
Z39 Support	10,000

This would leave \$33,000 for additional specific proposals emanating from the Research Committee. Mr. Sprague then recommended funding for a Commission retreat at which all Committees would learn how to operate under the new governance ground rules; how NCLIS spent its money in the past; and, how the OMB/Congressional appropriations process works, so that Commissioners can make constructive decisions. Mrs. Naftalin urged, in addition, that a pre-White House Conference meeting also be held for Commissioners to acquaint them with conference themes and issues. Mr. Trezza said this could be done at the joint White House Conference Advisory Committee/NCLIS meeting scheduled in September.

The Committee recommended that the "retreat" be held, and that the aforementioned projects be undertaken (including Research Committee projects); the Committee gave Media Base implementation a low priority.

Mr. Trezza then asked for Committee approval of a position letter on the Higher Education Act revision (CD #79-53). After some discussion, the Committee approved the letter.

The meeting ended at 5:15 p.m.



National Commission
on Libraries and Information Science

MINUTES

Research Committee Meeting

May 16, 1979

During the Evanston meeting of the Commission there were two very brief meetings of the Research Committee. These were essentially of a housekeeping nature. Carlos Cuadra informed the Committee of progress in constituting the Public-Private Sector Task Force and sought advice on some last minute additions to the membership of that task force. The Committee then discussed how it would conduct its presentation on the National Periodicals Center, scheduled for the entire Commission on the following day.

No action items or substantive recommendations to the Commission as a whole were generated during these brief meetings, hence nothing more to report.

William Mathews

REMARKS PRESENTED TO THE MEETING OF THE NATIONAL COMMISSION ON LIBRARIES AND INFORMATION SCIENCE (NCLIS) AT EVANSTON, ILLINOIS, MAY 18, 1979.

Mr. Chair, members of the Commission, thank you for the privilege of addressing you briefly. I am Ernest Campbell. I am Dean of the Graduate School at Vanderbilt University. I am Chair of the Board of the Center for Research Libraries. I am a research sociologist. It is as Board Chairman at the Center that I am here today, but I cannot ignore my knowledge from my own experience and of the problems my colleagues face in conducting their scholarly inquiries.

It is the nature of the scholar, by definition, to need resources not commonly needed and to need them unexpectedly and urgently. Systematic advanced inquiry so leads one.

No value can be placed on the essential reference that in the limiting case may be needed only once by only one scholar but without which the scholar's genius is unfulfilled, the insight unseen, the society deprived.

We at the Center for Research Libraries have learned from broad experience over 30 years that it is beyond the capability of the nation's research libraries, together or singly, to offer the services that academic scholars and other researchers need within a suitable time-frame. Such capability as we have is receding in the face of zooming costs and accumulating materials. A crisis of learning is upon us; advanced inquiry suffers and corrections are needed. The universities and other research centers are sorely pressed. In fact we lack the capability to remedy the situation visited upon us. I repeat: there is a crisis. Our Nation's leadership and reputation in support of scholarly processes are threatened.

In April 1979 the Council of the Center for Research Libraries approved this resolution:

RESOLVED that the Council of the Center for Research Libraries approves the concept of a National Periodicals Center as generally outlined in the draft of legislation prepared by the Legislative Drafting Team called together by the Executive Director of NCLIS at the authorization of the advisory committee for a National Periodicals System; that the CRL Council encourages other library groups to approve this draft; and that it urges the introduction of legislation as soon as possible after the major library groups have had an opportunity to discuss and act on this draft.

A year ago, the Board and Council resolved that the Center would convey its appropriate resources to a national periodicals center if desired.

As you will hear later today, the Center for Research Libraries has been at work for 30 years on the problem of providing scholars with access to rarely used reference materials and relieving the press on individual libraries in the

(over)

process. The Center would be delighted, let me say honored, if the holdings and experience it has acquired can in some vital way be helpful in setting up the proposed national center. The Center's unqualified, urgent support of a national periodicals center is not driven, however, by desire for recognition of its role but because we are well positioned to know from painful experience how limited are the resources and services compared to the national need. We do much at the Center, and we are proud of what we do, but what we do, what we can do, is puny in perspective. We are proud to offer our experiences and other resources as they may be needed. We offer all our pertinent resources in the spirit of emphasis on the need not of advocacy of our model or resources. Needless to say, we will be delighted if what we have done can serve the Nation further.

We ask you to continue to endorse in principle the establishment by Congress of a national periodicals center as a priority for the present. The time is now, the need is intense. We hope you will join with a broad spectrum from the community of research scholars and librarians from universities, industries, and government alike in seeking this goal with a sense of urgency. What the Center for Research Libraries does and does pridefully is far from enough, yet the Center's experience gives the national a head start in addressing the task before us. We know how invaluable yet how inadequate are the holdings and the services that an association of over 100 academic research libraries and half as many governmental and industrial libraries is able to provide through its best efforts. We face a national need and thus a national task, and the time to move forward is upon us.

Finally, we ask that a clear distinction between general enabling legislation and detailed management policy be maintained in your decisions. There are numerous issues of exactitude that are best left to those who will administer the national periodicals center. It is the general concept of the center for which support is solicited, along the general lines of available draft legislation, in order to move quickly to establish that which research, experience and daily observation convince us is a necessity.

As a citizen, as a scholar, as a representative for the Board of the Center for Research Libraries, I beseech your continuing leadership and thank you for it. This is a concrete issue of immediate and pressing nature that the Commission can address with quick and needed impact.

Association of Research Libraries

1527 New Hampshire Avenue N.W., Washington, D.C. 20036

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Statement of the Association of Research Libraries

to the

National Commission on Libraries and Information Science

In support of the Concept of the National Periodicals Center

My name is Richard Dougherty. I am the Director of Libraries of the University of Michigan, and I am here today as a representative of the Association of Research Libraries to speak in support of the concept of the National Periodicals Center.

The periodical is the single most important medium for communicating information about the results of research to scholars, to industry, and to the interested public. Because of the serious financial retrenchments occurring in the 1970's, the ARL, as well as other library, publishing and information agencies, and scholarly and educational associations, have become increasingly concerned about the steady erosion of information services, particularly in regard to providing our users with access to periodical literature. Indeed, in the past seven years the ARL has conducted no less than five major studies relating to providing access to periodical literature through interlibrary loan. The extensive investigations of this problem by ARL included: feasibility studies regarding a communication system, mechanisms for document delivery, analysis of cost, and alternative methods of financing. These studies culminated in the Association in 1975 recommending the immediate establishment and continued support by the federal government of a national periodical resources library.

Last week, the ARL membership met in Boston and reaffirmed its 1975 action supporting the establishment of an NPC. We were pleased during our meeting to be able to discuss mutual interests and concerns with Charles Benton, who reviewed for the ARL membership recent NCLIS activities pertaining to the NPC.

In the time available to me I would like to summarize the reasons why the ARL believes there is a need for a National Periodicals Center, and why we support the concepts expressed in the legislative proposal prepared by the Legislative Drafting Team:

1. An NPC will greatly improve access to periodical publications. Those responsible for providing information services are less and less able to meet the demands of users for information. Purchasing power has been seriously eroded in the past decade and there are no indications that this situation will improve. At the same time, the number of



periodical publications, as well as their costs, are increasing significantly. This is not news to anyone, but what should be added here is that, contrary to the fears of some, an NPC will not result in libraries spending less money buying materials--what an NPC will do, is allow us to reverse the alarming shifts in collection expenditures from books to serials.

2. In order to have an efficient and reliable system, a dedicated comprehensive collection is essential. There is no other way to guarantee access and permanent availability of periodical publications.
3. There are no existing mechanisms capable of providing the services needed; libraries cannot, for the reason stated above. The current system of interlibrary loan is inefficient, inadequate and unreliable, and ARL has 5 studies to prove it. And finally, no segment of the for-profit sector could or wants to provide the full range of services needed--they don't have the collections, and there's no economic incentive to do so.

While the for-profit sector may play an important role in providing access to a limited number of titles, we must not delude ourselves that we can simply do a better job of coordinating what already exists, increase the number of reprints that are produced, and expect to provide upwards of \$0 million copies of articles from 60,000 different titles published all over the world in the last 100 years. Similarly, to identify as an alternative developing a communications system, or a bibliographic system to perform the functions envisioned for an NPC is to ignore the central purpose of the NPC--which is document delivery. That is, knowing what titles exist and where they currently are, and being able to communicate this information, does nothing to insure that the titles are accessible and that there is a system to deliver them to the user. The NPC then is the locus of responsibility for providing access to materials in its own collection, and will coordinate the bibliographic, communications and referral support systems needed to accomplish the NPC goals.

The report of the National Enquiry into Scholarly Communication, which recommends the establishment of a NPC, is a thoughtful explication of the complex problems involved in the production and dissemination of information. We urge you to read this report carefully. It is important to note that the Board of Governors of the National Enquiry was made up of individuals from the scholarly, publishing and educational communities.

4. An NPC with a permanently available collection will eliminate the need for libraries to store and maintain extensive backfiles of periodical titles. This is probably the most significant economic "saving" for libraries resulting from the NPC.

The Association, of course, will be pleased to provide extensive documentation of statistical and other evidence relating to these arguments for the National Periodicals Center.

In addition, it is appropriate here to emphasize that the concept of the NPC as described in the draft legislation is based upon the essential premise that the kinds of services envisioned for the Center will be the result of the formation of a new kind of partnership between the profit and not-for-profit sectors. In this regard, careful consideration must be given to the role of existing agencies which are already in the business of providing services relating to access to information. We have in mind here, not only libraries, but agencies such as University Microfilms and the Institute for Scientific Information--to name two--who may have a legitimate interest and contribution to make to a National Periodicals System.

No one questions the potential importance of such existing agencies in helping to meet the goals of the NPC--indeed the draft legislation provides for the NPC to enter into contractual arrangements with such agencies. However, what is essential for all of us at this point, is to distinguish between 1) legislative issues upon which agreement is needed now, and 2) policy or management issues, which must be addressed by the NPC Board, once it is established by the legislation.

As examples of management issues requiring additional study, we would point to the Technical Development Plan for the NPC prepared by the Council on Library Resources. No one has or should at this point endorse this or any other plan which focuses on operational details, all of which must be carefully reviewed and evaluated at a later date by the NPC Board, taking into consideration existing resources and emerging technological capabilities. Similarly, the Board must establish the terms and conditions under which existing agencies would contract with the NPC to provide services, decisions regarding budgeting and financial management, and procedures involved in document delivery. All of this must come later--at this time we must concentrate on reaching agreement on the basic provisions to be included in the legislation, and avoid being prescriptive in areas which should be reserved for NPC management.

Finally, I would like to express on behalf of the Association of Research Libraries our sincere appreciation for the leadership the Commission has shown through the years in the planning of national information programs, and most notably, planning for a National Periodicals System. The NCLIS National Program statement published in 1975, the NCLIS study published in 1977 recommending the establishment of a National Periodicals System which would include a National Periodical Center, and sponsorship by NCLIS of the Open Forum on a National Periodicals Center, which resulted in the establishment of a Legislative Drafting Team, is a remarkable and unprecedented record of leadership by the Commission in moving us forward toward the realization of the goal of improved access to periodical literature. We are grateful to you.

While clearly it is the major responsibility of the library and information communities to move forward together in achieving the passage of legislation for a NPC, we would hope that you would reaffirm today the NCLIS endorsement of the National Periodicals Center concept, as have a number of other professional associations in recent weeks. Action to introduce this legislation, which will take place within the next several months, should involve all of us working together to achieve a common goal. We are ready to work with you, as well as other members of the profit and not-for-profit communities in forming a united front to achieve these objectives which are critical for fulfilling the information needs of this country.

I will be pleased to answer any questions which you may have at this time.

MAY 18, 1979

University
Microfilms
International

To: Members of the National Commission on Libraries and Information Science

From: Joseph J. Fitzsimmons, President, University Microfilms International

Date: May 15, 1979

Subject: Document Delivery Service Capabilities

In response to Mr. Al Trezza's request in his letter of April 25, 1979 to Paul Zurkowski, President of the Information Industry Association, I am providing to each of you the following description of the document delivery service currently offered by University Microfilms International as well as an indication of possible future extensions of our existing capabilities.

University Microfilms International (UMI), a Xerox Publishing Company, has provided a journal article and issue document delivery service to libraries and individuals since 1958 and represents a significant private sector capability to meet their continuing needs for reprints of serials articles or issues. The service now encompasses publishers' permissions to produce article copies covering more than 8,800 currently-published serials as well as approximately 2,000 ceased serials titles. These permissions represent ongoing relationships with approximately 6,000 publishers throughout the world.

UMI offers its article reprint service at a cost of \$6.00 per article regardless of length with substantial discounts for all copies after the first. Issue reprints are available at \$.10 per page with a \$10.00 minimum charge.

Ordering can be done from UMI's complete catalog of article and issue reprints or from any of the several UMI Serials in Microform catalogs, all of which list the availability of reprints. Orders are received by mail, Telex or through a toll-free or regular phone number at UMI. Article copies are put in the mail within twenty-four hours of receipt of most orders. Articles can also be sent via facsimile transmission for an extra charge. Orders must be prepaid by cash, credit card or through a deposit account arrangement (with a minimum of \$150) for institutional customers. The fill rate on prepaid orders has been in excess of 90%.

A recent analysis of the distribution of UMI's orders by type of customer closely paralleled the results of a similar study by the British Lending Library (BLLD) and indicated that the use of UMI's document delivery service is spread over a wide variety of customers:

Document Delivery Service Capabilities

Page Two

May 15, 1979

Approximate Distribution of Orders for UMI's
Document Delivery Service

<u>Customer Type Ordering</u>	<u>Percentage of Orders</u>
Academic Libraries	25%
Public Libraries	3%
Government Libraries	10%
Special Libraries	28%
International	10%
Individuals	24%
Total	<u>100%</u>

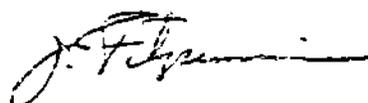
Further, an analysis of statistics from the BLLD describing the usage of some 314 high-use serial titles indicated that UMI could have filled at least 45% of the requests for article reprints from those titles with its existing complement of serials holdings.

UMI has an arrangement with ERIC to list the availability of the reprint service in its printed and on-line citations for the Current Index to Journals in Education, for which permissions are available on 63% of the 325 titles. UMI is also discussing similar arrangements with a number of other data base suppliers which would result in an extended ability to order articles through data base vendors' "electronic mailboxes."

UMI continues to secure reprint permissions on a worldwide basis to improve its ability to serve customer needs for reprints of articles from serial literature.

Enclosed is a package of information which describes UMI's document delivery services in more detail and which should provide each of you with a fuller understanding of the substantial capabilities already existing at UMI. These already available resources plus title permissions which continue to be added give UMI a capability that should be part of any organized system for providing document delivery services.

UMI has already successfully developed a comprehensive Dissertation Information system which effectively deals with the complexities of providing access to and copies of dissertation literature. I am confident that our company can be an important element, in conjunction with other private sector organizations and an improved inter-library loan system, in a comprehensive system for providing access to serial literature as well. For this reason, I request that the Commission seriously consider the contribution which can be made by existing institutions to meeting the need for effective access to periodical literature.



TESTIMONY BEFORE NCLIS-18 May 1979
EVANSTON, ILLIONIS

CAROL RISHER:

I'm very happy to be here to day and I thank the Commission for this opportunity to address it on this very vital subject. Commissioner Cuadra mentioned the current issue of Library Journal which I have not seen. However, in a prior Library Journal issue (I believe it was the one right after the Open Forum), there was reference to a rift between publishers and librarians. There was reference to the fact that this problem became evident at the Open Forum-- libraries on one side and publishers on the other. This is not true. In response to that editorial in Library Journal, AAP and the American Library Association wrote a joint letter, explaining that the two groups work together, we intend to work together, we want to work together on the NPC. Our posture is one of cooperation, our purpose is one of cooperation, and I do want, even not knowing what it says in Library Journal, to make that statement very, very clearly. We are not on opposite sides of this issue. The AAP position, and I can say also that the Association of American University Presses shares this position, is that both groups favor adequate document delivery. We are willing, nay eager, to work hand in hand with the library community to accomplish this. Our statement has not changed from that which we submitted to the Commission March 13th and read at the Open Forum on March 19th. What we said in our statement is that we are in support of adequate document delivery. We do feel, however, there has not been sufficient study of the existing resources. I will say more about that in a moment.

There is one other point I'd like to make, and that is there has not been adequate attention paid to the variety of formats and the variety of delivery systems which could be employed. There are a variety of manners ^{IN WHICH MATERIAL} can be delivered. It can be delivered in microform. It can be delivered via display on a CRT tube. It can be delivered in paper copy. It can be delivered in tear sheet or photocopied reprint. There is a variety and we hope that whatever system is created takes into account the varieties of format possible and the varieties desired.

Now, for the most efficient and effective system, and at the most reasonable cost, it is necessary to know what is out there. We are the Association of American Publishers and we did not know how many of our members supplied reprints back to issue 1, volume 1. There was no centralized location for this information and we did not know how many of our member publishers had periodicals listed in UMI or ISI or other authorized reprint services. We were asked in a letter dated April 25 by the Commission to supply this information by the first of August.

The same letter was sent to the Information Industry of America. We are working on getting that information because we believe it is necessary for any national periodicals system to know what's out there, how far back it goes, and the existence of various dedicated collections. We support the concept of adequate document delivery. The question is, is it necessary, if a dedicated collection exists in one place, to recreate that same dedicated collection in a central location? Is that necessary, is it a valid question?

What we did in anticipation of this meeting today was to call all of our journal

publishing members on the telephone, to ask them the following questions: How many journal titles do you publish? For how many of these do you supply reprints of articles back to issue 1, volume 1? For how many of these do you supply full back issues? For how many of your journal titles do you have existing licensing agreements with authorized reprinting services such as University Microfilms, ISI, or any other such service? (There may be lots out there that we don't know about.) We also asked how many journal titles were participating in the Copyright Clearance Center.

Just for the record I will state that the Copyright Clearance Center is not document delivery. It is an existing royalty and payment mechanism which was established at the suggestion of Congress at the time of the drafting of the new copyright law. It was established. It's working out the bugs. It's been in operation since January 1, 1978, so it is significant for us to find out the answers to these questions.

We also asked the Association of American University Presses to do the same survey of its membership. I have with me individual sheets for every single publisher surveyed which I'm not going to supply here, but I will give you the summary for AAP and AAUP, because I think this is very important. This is the first time this information is available. I could not find it in existence anywhere. This is only, I must underline only, the beginning, because there is more out there. We just did a quick telephone survey; in some cases we couldn't reach people, but we did reach at least 95 per cent of the journal publishing members of both organizations.

The Association of American University Presses has 39 member presses which publish 341 journals. 100% supply back issues-- 95% from dedicated collections back to issue 1, volume 1. 92% have license agreements with authorized reprint services. 89% are listed with the CCC and 70% supply article reprints themselves. The Association of American Publishers has 35 journal publisher members with approximately 2,000 titles. We were only able to reach 30 of these 35 publishers due to time constraints and people being away. But we learned from these 30 publishers, which represent about 1500 titles, that 80% supply back issues, 66% from dedicated collections that go back to issue 1, volume 1, 63% supply reprints themselves. 40% have licensed authorized reprint services to supply the reprints. Although I did not do a detailed comparison of how many of those which do not supply themselves, do have license agreements; it is not the same group. A wider range than the 60% which supply reprints themselves are those with license agreements. 75% are listed with the Copyright Clearance Center. This is only our membership. This information should be obtained and incorporated into any plan for a National Periodicals Center, because it would make the Center more effective to be able to tie into existing dedicated collections. Where there is no dedicated collection there is no problem with NPC working to create one. Where something is not available either from an authorized reprint service, back to issue 1, volume 1, or from a publisher, it would be very sensible for the National Periodicals ^{Center}, knowing this information, to work at building that collection.

Further, on the new technology. Although I have heard that OCLC is experimenting with a terminal order system, I don't know anything about it. However, I do know two things about the Bowker company, which is a member of our organization. Right now there is an experiment going on where Books In Print is on-line, and people are able to order books from this. An order comes into the Bowker Company, which then sends an order out to a fulfillment source immediately upon receipt. There is less than a 24-hour turnaround time. This is an existing order system using a centralized database. The Bowker Company also sent out a questionnaire in March

1979 to all of the publishers of all of the journals listed in Ulrich's International Periodicals, which is a great big book listing all of the journals in existence. The questionnaire says in effect: there is a considerable lack of information on copyright permissions, copyright policies, and availability; but we are trying to solve this problem by gathering the following data to put into one centralized data base. The questions that this questionnaire asks are as follows:

- * Do you permit free copying of articles from your publication for internal use without express permission?
- * Do you provide copies of articles for a fee?
- * Are your journals registered with the Copyright Clearance Center?
- * Do you participate in any of the article photocopying services listed below? (And then they list University Microfilms International, the Institute for Scientific Information and a place for "other," and they say please specify.)
- * Do you wish to participate in any of the article photocopying services which you do not now participate in?
- * Do you permit royalty-free copying of the abstracts of your journals by abstracting services?
- * Do you produce your publication by computer photo composition?
- * What is the name of your publication?
- * Who prepared this document?

This information is being put into a data base which exists at the Bowker Company in New York. This data base could go on-line in less than two weeks time. All they do is turn-over the information to Lockheed or SDC. Now assume for a moment that this list is comprehensive -- that there is a second mailing, a third mailing, until all the information is available -- then what we have is one centralized data base that has all of the availability. If there are terminals in either regional networks or state libraries or any library that is big enough to afford it, you key up the name of the journal title when you want an article, and immediately you can see the availability of that journal. The data base will indicate that the publisher supplies reprints back to issue 1, volume 1, and UMI supplies it etc. For another title, you might key it up and see that copying is free at no charge..."go right ahead if you have it, and if not, these are the availabilities." Now, take that and the existing technology; and, I am not, as you know, a computer specialist. I learned what I learned when I was with CONTU and we were studying the new technologies as they relate to the copyright law, but I know that the technology is here today. Now if you have the mechanism, you can order right away. Looking at this availability in a data base and linking it to a computerized system, the computer can go down the list of several different sources and generate the first request for an article to source 1, the second to source 2, then source 3 and then back to source 1 so that you are varying the load on the individual libraries or individual sources. What you are doing is making it possible to have immediate turnaround time, and immediate document delivery, using sources in existence and an NPC collection to supplement this. Where there is nothing, there should be something, obviously.

You can also supply the article over a CRT tube. All of these things should be considered. This new technology is out there and is usable and we don't have to tie ourselves to the postal system which is outdated and outmoded. These could be integral parts of a system.

One more thing I'd like to add before I try to wrap this all up and make sense of it. On September 24 in New York the AAP journal publishers are having a seminar on alternative distribution methods. The cost of the United States Postal Service is getting so high, the cost of paper and labor and such, that journal publishers, for their own sakes are right now considering alternative distribution mechanisms. There is, I know, an experiment in this country that's being conducted or is about to be conducted. The work is being planned now by the National Telecommunications and Information Administration. What they're doing is similar to the British Viewdata System. They want to publish in data form, something that will appear on a television screen rather than in hard copy so that subscribers will be able to sit in front of their screens and read the information on demand from the data base. They have questions as to how many pages a person will have patience reading from a CRT tube, and how long those glaring rays are going to take to make a person prefer to have paper copy. But there are experiments such as these using alternative distribution mechanisms. Since the alternative distribution mechanisms are being looked at by publishers, it is very wise for any national periodicals system concept to think in terms of other than just paper copy journals and periodical literature. Maybe some of it will go right into a data base and come out upon demand. Maybe some of it will never appear in hard copy but just be in fiche format. There are many things out there which we don't know but we are on the brink of a very, very exciting time as the new technology comes into play in our country.

Now, going back to the NPC and our legislative draft, we, the AAP, and I can speak for the AAUP in this too, have said that the existing resources have not been looked at enough and we do feel this is important to do. But then we say that if sufficient need is proven, we want to work hand-in-hand with the library community to create the best, the most efficient, the most effective system for a document delivery system to meet the needs of users. AAP participated in the drafting effort to create a draft legislative proposal for an NPC. The way we drafted this legislative proposal, it clearly says that where possible the private sector should be employed -- that publishers who don't want their periodicals in a dedicated collection at an NPC because they have their own dedicated collections will be able to be part of the system by contract and referral. So I think clearly the language is very good. Certain things do have to be clarified before the legislative proposal is introduced. The legislative history that we all intend to write is very important. I don't think we're that far apart.

---END---

CARLOS CUADRA:

Carol, I'm sure a large number of people have questions for Carol. Yes, Bob.

ROBERT BURNS:

I'll lead off here. It's clear from what you say, Carol, that the publisher services are good now and are going to get better. I think that's great. I also

appreciate your remarks on the so-called adversary relationship between the libraries and the publishers and I would like to emphasize to my fellow Commissioners that the Commission has made every attempt to reach out, to understand and to listen to what the private sector, the private for-profit sector has to say. We don't always agree, but we have listened and we have integrated what we have heard them say into the document called the draft legislative proposal which you have in front of you as Commission document 79- 7.7 The third thing I want to say is I have a question for you, Carol. You quoted a number of percentages on document delivery capabilities of journal publishers. My question is this: What percent of the journal publishers belong to the AAP?

CAROL:

The AAUP list and the AAP list combined is in the neighborhood of 2,000 journal titles. So obviously since the universe out there is, you know, upwards of around 100,000 journal titles, it's a small percentage. But what I am saying, is, let's check the existing resources. Perhaps the Ulrich's list comes back and Ulrich's is dealing with 93,000 journal titles. Perhaps that list when the results are tabulated will show some other journal publishers performing in the same percentage areas as the AAP and AAUP members. At the Open Forum the comment was made by the American Business Press that they represent some 400 journal titles and all of those are available from issue 1, volume 1. They said their members supply reprints. All I was saying was, looking at our membership we discovered a large percentage of dedicated collections. Let's widen that universe, let's look what's out there. If there is nothing, there should be something, there is nobody who disagrees that there should be document delivery for materials ^{are} not part of dedicated collections. All we're saying is, and this goes back to what Sue Frankie and I were saying before concerning use of the word "comprehensive" we are thinking of a comprehensive collection that employs all the existing and dedicated collections. It was not to build a warehouse, reinvent the wheel, recreate a centralized collection, but rather to have contracts, and use what's there. Let's have an awareness of what's out there, and find a way to coordinate it. I think when Richard Dougherty spoke about coordination he was walking down the same path, hand-in-hand with us. Coordination is the key.

CUADRA:

The AAP is planning to provide the Commission with a more elaborate description of existing resources?

CAROL:

In our statement, which we filed on March 13, we offered to cooperate with the Commission in its efforts to obtain information on the existing resources. We do not have funding in our budget to do a comprehensive study. We did a telephone poll of our members. We have sent out a mailing to our entire membership vis-a-vis the journals that they publish, and we were to provide the results of that mailing as requested by August 1. AAUP was not asked to provide that information nor was the American Business Press, and yet both of those organizations are right now sending our surveys. It's still only the tip of the iceberg. I hold no stock in the Bowker Company. I get nothing out of talking about them. There may be thousands of other data bases out there; but Ulrich's happens to be one that I just recently learned about and so I mention its existence. That information, should also be examined. I am hoping that the Commission will be the vehicle to coordinate these studies and get some input. We will cooperate in any way we can.

CUADRA:

With respect to putting the Ulrich data base on line, you were pointing to a capability to do that. Were you also pointing to any intentions to do that, and if not, what would it take to move toward having that available on line as a finding tool?

CAROL:

As I said, Commissioner Cuadra, I am not an employee of or in any way related to the Bowker Company. I know about this information because I am the Director of the International Copyright Information Center, which operates under the umbrella of UI/ESCO. In that capacity I had a meeting with the president of the Bowker Company and was told about their existing services, data bases and sources. I did not, in that capacity, ask the question, concerning intentions for the future. I did find out about the questionnaire; I did ask for a copy of the questionnaire and I know it's in process I was told that Bowker could put it on line like that but I don't know whether they are going to or not. I am sure, however, that they would respond to a question from the Commission and answer directly.

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My name is Clarence L. Ver Steeg. My academic position is Dean of the Graduate School of Northwestern University. Although I can speak as one who has taught and written for students at the elementary and secondary level and who has taught and written for advanced graduate students and fellow scholars as well as the general public, my primary responsibility today is to represent the scholarly community, more specifically the Association of Graduate Schools. However, because of my experience, I do not perceive myself as approaching the consideration of a National Periodicals Center from a parochial point of view.

The Association of Graduate Schools enthusiastically supports the establishment of a National Periodicals Center.

Statistics on the exponential use of research libraries and the crisis that arises as a result will be presented by experts far more knowledgeable than I. The information they provide is the indispensable base for all discussions.

It is my objective to enlarge this discussion by addressing the role of research libraries and their relationship and impact upon their varied publics, of which the scholarly community is one. Scholars from every imaginable field are dependent on the effective operation of research libraries. So are the millions of youngsters who scholars teach at the graduate and undergraduate levels. Yet, to perceive the role of research libraries and their intimate relationship to this particular audience is to conceive of the role of research libraries too narrowly, because they are essential not only to the immediate cultural environment in which they are located but also to the larger community, the states and the nation-at-large.

This enlarged public role of research libraries is not well understood. The major research libraries should be perceived as super-public institutions, used by persons of every age and from every walk of life. This relationship of individual research libraries to users has been enhanced over the years by interconnecting regional library systems, providing invaluable assistance to millions of persons to every state and almost every locality in the country. The data supporting this statement will be offered by others, but the important fact to understand is that research libraries extend their services to every nook and cranny of the nation.

Without these facilities and without these services the vast majority of citizens would be stripped of an invaluable national heritage. The question then is: in what way will a National Periodicals Center serve the Research Libraries and the varied publics they serve?

At the core of a research library is its periodicals. Periodicals have become increasingly the avenue by which the printed word conveys the latest development in advancing knowledge and in spreading that knowledge to the larger public. Without this essential core of materials upon which to draw, all will suffer--scholars, students, and citizens.

The National Periodicals Center is intended to make certain that periodicals will be available to all who wish to learn, from the elementary social studies, science and language arts teacher to the learned scholar seeking to uncover new knowledge. All will be served: the scholar in his or her quest of discovery; the student who seeks knowledge; the librarian whose mission is to organize the printed works so that they and others can readily gain access to them; the author of the article and the publisher of the periodical who will be compensated for their investment of time and money; and the citizen at large who reads for pleasure or knowledge or, it is hoped, finds the two fully compatible.

It is the critical interrelationship between research libraries and the publics they serve which make the creation of a National Periodicals Library so urgent a priority among the nation's needs.

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CHICAGO CIRCLE CAMPUS

MEDICAL CENTER CAMPUS CHICAGO

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Hearing on a National Periodical Center, before the National Commission on Libraries and Information Sciences; Evanston, Illinois, 18 May 1979.

Statment by Peter E. Yankwich, Vice President for Academic Affairs, University of Illinois.

The libraries of the University of Illinois on its campuses at Urbana-Champaign, the Medical Center (Chicago), and Chicago Circle, comprise a major physical and intellectual resource. Since no collection is complete and all financing is finite, the University of Illinois Libraries both render service to and request services of many other libraries.

- (1) Even a library as large as the University of Illinois with its 83,000 current serials still must borrow some 6,000 journal articles a year from around the country and the world. Clearly we do need to have some place from which these can be borrowed. Obviously, it is much more efficient to borrow them from a single central agency than from the decentralized collections that we now must turn to.
- (2) Often the Library must borrow periodical articles of titles it itself owns, either because the issues have been stolen, the articles themselves have been cut or are missing, or the journal itself is otherwise unavailable. Therefore a collection of even moderately used titles, not necessarily heavily used or especially lightly used, would be of great value to us.
- (3) We believe that the increasing costs of journals coupled with their low individual usage makes the establishment of a National Periodical Center a logical way to store and distribute the results of scholarship.
- (4) Further, the establishment of such a center may well encourage alternate and more fiscally viable forms of the distribution and storage of knowledge, perhaps in the form of refereed but unedited papers, indexed in the actually published literature, and available by photocopy for those who wish them. This may well hold true for the more esoteric or the items of such narrow scope that, while their importance and quality is high, their readership is very low.
- (5) We believe that the whole educational process in this country is changing to require more increasingly active and independent study and research on the part of students. This is true from high school all the way up through graduate school. Since many of these students are not attending institutions with large, highly developed libraries,

a place for such people to borrow the materials that they locate through the published indexes should be available. We believe from our observation of the trends in American education that some of the heavy users of such a system will be undergraduate students writing research papers on topics unsupportable by their local libraries.

- (6) We realize that many institutions are facing severe financial constraints and that whether such a center exists or not they will have to trim their periodical subscription lists. Since that is the case, the existence of a National Periodical Lending Center will be able to provide faculty members the services necessary for them to continue to keep up with their fields and to maintain the quality of education.
- (7) We also would like to point out that institutions such as ourselves serve as major resources in this country. The cost of providing that service is rising all the time and it is likely that we will not be able to continue to afford unsubsidized support through the voluntary interlibrary loan program that now exists. And we believe that many larger institutions are in exactly the same straits. Thus, the existence of a National Periodical Center will relieve many of the large "lending" libraries of a burden of increasing financial size.

Recent surveys show that the major research libraries lend from 3 to 10 times as many items as they borrow. The net costs of such discrepancies must be shared with the "net beneficiaries" or transferred to some new entity. The present interlibrary loan system is nearly 75 years old. It must have some important transfusions or transplants or it will die.

ROBERT WEDGEWORTH

EXECUTIVE DIRECTOR

AMERICAN LIBRARY ASSOCIATION

Thank you Mr. Chairman, my name is Robert Wedgeworth, I'm Executive Director of the American Library Association. I would first like to state that the statement which I transmitted as an action from the Association's Spring Executive Board meeting, I would like to see inserted into the record of this discussion as an expression of the American Library Association's support, for the concept of a National Periodical Center. My purpose in asking to take up the option to speak, is simply to bring us back to where we started in the very beginning of this discussion and express some of the particular interests of ALA with regard to the proposed Center.

There have been two specific comments I'd like to address initially. One relates to the advent of many new technological devices that hold great potential for solving some of the problems that we've been struggling with. I think it should be emphasized that the library community has a great deal of experience in applying new technology to various problems. But as we look at many of the problems we see facing us, it reminds me of a little sign I saw over one of the electric hand dryers in a men's room not too long ago, and it said, "press here for a message from your President." And I think that when we talk about instant solutions to some of the problems, that statement could apply to Presidents of Companies, as well as Executive

Directors of Associations. Many respects there are no simple solutions to the problem.

Another, is whether the American public will be willing to pay, for the kinds of services that we are proposing to be developed. Well, that also reminds me of a very popular television commercial which says, "you either pay me now, or you pay me later." Because the real significance of the proposal of this Center, is that we are already paying an enormous price, for the separate individual efforts, that are only addressing parts of the problem of access to periodical literature,

But, let me just address three different aspects of the problem. First, is the matter of service, secondly, who pays, and third, governants. With regard to the service, you've heard a number of persons indicate that we are aware of over 100,000 English Language Journals alone, that are available to be acquired by the library collections around this country. That the existing organized reprint and off-print services only will give you access to a very small percentage of that body of literature. We've gone through a period where at one time we thought the Library of Congress, the National Library of Medicine and other National Libraries could be the comprehensive backup collections to provide those services. We went through another phase where we felt that we could organize the nations major research libraries, and they could provide the service, But, what we have come to realize, is that we must have a total coordination of all of these different access points of all these disparate collections and services in order to be

able to deliver, what we consider reasonable access to periodical literature. We're not just talking about the research physicist who has a great need to have access to periodical literature. We are also talking about the high school student in Alamogordo, New Mexico who happens to be a budding scientist and may have needs that exceed the capabilities of his local public library or indeed the State library or the State University library. It reaches to that extent. Those are the kinds of services that we think the coordination of the capabilities will include. And, most importantly, with regard to service, we need to separate the concept of a National Periodical Center from a National Periodical System. There is no question, that in developing a National Periodical System we must take into consideration the resources and capabilities of the private sector to contribute in giving access to this Periodical literature as well as the resources and capabilities of the many public institutions that presently provide these services. On the other hand, one of the things which emerge from the Open Forum was general agreement that in bringing all of those elements together we still needed a National Center to provide that level of planning and coordination. I don't believe that I could pinpoint any gathering of important leaders in the library field, in the publishing industry, in the information industry, from the public sector, who have gathered to discuss a more important issue in recent history. There were 190 persons at that meeting, and I think that they reached an important conclusion.

Costs - I think we're not really sure of the cost. And it's impossible for us to define the cost, because, we need further definition of the nature of

this Center which will be an important component in bringing together the National Periodical System. But more importantly, what we really ask the Commission to do today, is to advance the concept of a National Periodical Center, because this will be the heart of the planning and development activities that will at some point in the future, define the scope of this Center in relation to all of the other elements and bring together the important services, such as the state system in Minnesota, the lack of state systems in other regions to bring access to periodical literature to the majority of our systems. The American Library Association has addressed this issue at this level, because we think at this stage, we need to come together and agree that we need to push forth the concept of a National Periodical Center. The development of that legislation and there will be increasingly frequent opportunities to shape and define the specific scope and parameters of the Center as well as the relationship between the different elements of the system.

I would urge the Commission at this meeting, to move forth this proposal so that we can get on with the work that my colleagues and the Association of Research Libraries have done so well to define, shape, and put before this Commission as well as before at the broader library community.

Thank you for the opportunity to address you.

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AUGUST FRUGÉ

*The study itself has been useful but
 the final report of the National Enquiry on Scholarly Communication
 is disappointing in its chapters on books and journals and
 biased toward libraries in its recommendations*

After three years of study and drafting, the National Enquiry on Scholarly Communication is – as I write this – about to issue its final report on a ‘complex of questions, involving scholars, learned societies, book and journal publishers, research libraries, technology, and foundation and government policies.’ The emphasis, it has always been said, was to be not on the problems of each group but ‘on their interrelationships.’ The conclusions drawn were to be for the system of scholarly communication as a whole.

What happened to these good intentions? Where and how did the enquiry go off the tracks, if indeed it did go off? I believe that it did, but I join with others in saluting the valuable work done and the understandings gained.

The Enquiry came about because there existed in the early and mid-seventies a widespread belief that scholarly writing and publishing and research libraries were all in serious and continuing trouble. New book sales were down; some presses closed their doors. Journals, particularly in the humanities and social sciences, were proliferating at a time when subscriptions were declining. Library budgets were falling behind the need; serial subscriptions were taking up funds previously used for monographs. There were too many books and articles of marginal quality, and yet publication was too difficult for young scholars. It was believed that some-

thing was basically wrong with the system; it was even called a non-system.

The system proved healthier than we thought, better able to adjust itself to changing conditions. But the problems have not gone away. If less critical than once believed, they are more persistent and more difficult to comprehend and solve. So we can all be pleased, I think, that the Enquiry was funded and set up, that a capable staff was hired, that we have a number of papers on particular topics and now a concluding report.¹

As the staff proceeded with intensive studies of scholarly attitudes, of journals, of university presses, and as the governing board of the Enquiry discussed the findings, it became apparent that problems in science and technology were quite different from those in the humanities and humanistic social sciences. Communication in the sciences is better financed and under better control; the mode of publication is different, being less dependent on book-length studies and long articles. So it was decided, wisely I think, that the focus would be 'limited to the humanities and related social sciences.' It continued so limited until the eleventh hour, when scientific and technical journals were brought back in to justify recommendations that did not grow out of the study.

In the penultimate draft I have, the report consists of four chapters: I, Overview and Principal Recommendations; II, Scholarly Journals; III, Scholarly Books and Presses; IV, Research Libraries and Scholarly Communication. Most of the work of three years is summarized in the two middle chapters. But it is the final chapter – characterized by one of the drafters as the weakest one, because little work was done on libraries – that dominates the central conclusion in chapter I and provides the chief recommendations. One can only guess how this came about.

Chapter II documents the increase in the number of new journals – in the humanities only – and then goes into considerable detail about the management and finances of journals, and offers suggestions for self-help. The discussion is flecked with intimations of mortality; suggestions for improving income are clearly meant to substitute for other income to be taken away. Let me come back to this matter; here it is sufficient to note that the chief recommendation of the report, which has everything to do with journals, does not come out of the chapter on journals at all.

The study of scholarly books and presses, chapter III, proved to be a large disappointment. At one time this part was looked on as the centre of the

report, but the centre proved to contain nothing that was both significant and new. The attitudes of scholars as readers and scholars as authors were found to be just what one always assumed they were. After setting these forth, the chapter goes on to a critical study of press management that parallels the earlier one on journal management. Suggestions are made regarding production, specialization, paperback editions, foreign selling, collaboration in fulfilment, the role of universities without presses. Most of these are sensible enough. Also familiar enough. The chief criticism one might make is that they have little general application: joint fulfilment is for the few; whether paperback editions should be issued at once or later will always be a matter of judgement; most presses already specialize. Datus Smith's report on the market for books abroad, given in summary, is perhaps the best thing here and is already being pursued; it will be helpful but is not aimed at the heart of the system.

The heart of the system is the stuff published, the research writing itself, the new thought or new interpretation or new reality that springs out of the scholar's mind after it has collided with other minds. The central problem is how to judge these offspring, how to order them since they are not of equal value, how to make them available in ways that are neither too confusing nor too costly. The report, here and elsewhere, gives no serious consideration to the research itself – to the problem of the specialized work that needs, or does not need, to be communicated. Synoptic publication is listed as one of the straws at which drowning journals may clutch. Multiple-track publishing, involving a choice between full and on-demand treatment, is brushed off without serious thought. The report is concerned with written material only after it is actually made public. It is hardly surprising, then, that we learn nothing new or significant about the way publishing might be carried on. Editors and publishers have been thinking and experimenting for years as if their lives depended on the result, as indeed they do. New ideas in any single report, then, are apt to be few and small, bandaids rather than major operations.

But bandaids make no splash. Nor do they make an impressive report. The drafters were apparently unwilling to face the difficulties involved in choosing between significant and merely useful research and the consequent choice of different ways to make different kinds of research available. Where then could they turn for a Central Conclusion? It appears that they turned to the Council on Library Resources, which had one ready-

made, waiting for endorsement. Since this borrowed conclusion did not grow out of the study of three years, did not even relate to it, the report had to be adjusted to fit the imported element. Book publishing, not affected by the conclusion, could be left as a useful but not so important chapter. Journals, very much affected, could be described as the cause of the trouble and made to suffer the cure. Since research libraries, the beneficiary, had not been studied, it was necessary to put together a quick chapter to go with the conclusion and recommendations. There was another awkward adjustment. Three years of study had concentrated on journals in the humanities and social sciences, but the National Periodicals Center, the new desideratum, relates primarily to scientific and technical journals. So these latter had to be pulled back and inserted here and there, particularly in the new chapter, in order to make some connection between data and conclusions. This unnatural patching would be covered by skillful drafting.

One could wish that the Enquiry had made a selection. Instead of buying the whole CLR package, it might have concentrated on the National Bibliographical System, the one recommendation that promises to serve all parties in the network. Although numbered as Recommendation 1, it is given only a brief description; primary attention goes to the central show-piece, Recommendation 2, the CLR proposal for a National Periodicals Center.² Hand in hand with this comes Recommendation 3 for a National Library Agency, which is to operate the Periodicals Center and 'bring about the purposeful development of a national library system,' quite separate from the Library of Congress. So, three new agencies to be funded and staffed and placed down on top of the existing library system. If we count the later recommendation for an Office of Scholarly Communication, the report calls for four new agencies. Thus are government bureaus spawned, even in a time of tax revolt.

The cost of the Periodicals Center alone is estimated (optimistically?) at nearly \$30 million in the first four years, including about \$6 million for a building. As far as one can tell from the description, the Center is intended to absorb or supplant or duplicate or drive out of business all the existing agencies, public and private, that deal in periodical materials. It will collect in all subject fields with the *initial* exception of clinical medicine. About one existing organization, it is suggested that the Center 'could absorb that activity.' The report gives no thought to the nearly ten thousand journals now held and supplied by another organization, although they are mostly

in the humanities and social sciences, the area studied by the Enquiry. Nor to some five thousand technical journals held by still another company. The Center will also act as 'a distribution agent for publishers' – another duplication.

What is the purpose of this new monster? One stated purpose is to relieve the pressure of inter-library loans on a couple of dozen big research libraries. We can understand their desire for relief and still wonder whether it was the function of the Enquiry to promote this cause and make it the primary recommendation in a systems study. The broader purpose, to make periodical writings available to scholars and libraries everywhere, can be accomplished more efficiently and less wastefully by a linked bibliographical system.

The virtue of a computer network is that it can pull together vast amounts of information from diverse sources and make it quickly available to anyone who is plugged into the system. It makes quite unnecessary the bringing together and storing in one spot of all the items that are indexed; they become available wherever they are. The report recommends just such a bibliographical system. And then, Heaven help us, it goes on to recommend an outmoded, pre-computer type of agency that will collect all journals in one building. A strange conjunction of the new and the old, the needed and the unnecessary.

The files of many journals now exist in various libraries, which can provide copies of articles to those who need them. Many other journals are already stored on microfilm in the vaults of companies that specialize in selling copies. If all these files, public and private, are indexed in one linked system, as proposed in Recommendation 1, and if that index shows where to obtain copies, then the chief service of the Periodicals Center can be had without the Periodicals Center – without the expense of a new bureaucracy (\$30 million in four years), without the waste of duplicating files and agencies. Existing library co-operatives and private companies will be encouraged to expand and develop. New services, particularly in subject areas, might be started. Regional and associational values will be preserved, without merging all into one massive central monopoly.

The proposed bibliographical network is a truly beautiful concept, one that will serve all parties in the scholarly world. It is sad, I think, that the report does not concentrate on this plan and make it the heart of a systems proposal. When the bibliographical network is looked at imaginatively and

with the future in mind, it reveals the Periodicals Center to be an unnecessary layer of administration. This is so regardless of whether a central periodicals lending library is alive and working in Britain. Conditions are not the same. If there is a better way, we ought to take it.

We have seen that the weakest part of the report, that on libraries, has brought forth the strongest recommendations. What strikes the eye of an outsider is that the management and finance of libraries are nowhere accorded the kind of critical study that is given – rightly – to the management and finance of presses and journals. Research libraries are not told, as others are rightly told, to take a hard look at their practices and seek ways to help themselves. Annual budget increases of 9.5% overall for state-supported academic libraries and of 8.6% for the larger ones appear to be considered small; many an organization would count them large. A steady shift of funds from book and serial budgets to salary budgets is merely noted. For the reader this appears an ominous trend, suggesting that the payroll is eating up the book funds. Library management might get some critical examination here but does not. 'It is surprising,' reads a summary of the Fry-White study,³ 'in view of the evident financial constraints, that there is not a greater variety or range of [cost reduction] activities.' What is surprising is that expressed library needs are not scrutinized but are taken at face value and made the justification for so much of the Enquiry's report. Justification, in particular, for a pretty cavalier treatment of journals.

So what about the journals? Back files are one problem, current issues another. A linked bibliographical system will make back files, stored in a number of places, readily available, but may not make it easy for a number of libraries to share a single current subscription. Perhaps the Periodicals Center is intended to facilitate this by providing a single agreed-upon source. But again, what of the journals?

It is they, we read, that have caused the problem with library budgets, and it is they who must now pay (with their lives?) for the solution. The journals have been exploiting the libraries, we are told, and now the libraries will exploit the journals by using one subscription many times over. How this will work no one knows. If the Periodicals Center causes few cancellations, as we are told its British counterpart does, then the libraries will get little relief. If it causes many cancellations, as the report anticipates, then the journals will suffer. Some of them anyway. The practical and moral considerations might have been studied.

The campaign for a Periodicals Center has been sparked by the high cost

of scientific and technical journals. But it is journals in the humanities that are the likely victims. 'If library subscriptions are cut back ...' reads chapter II, 'the impact may be disproportionately heavy on the humanities.' The humanities journals have held down prices, we learn in this same chapter, and so do not contribute unduly to library problems, but they can be more easily eliminated than can those in science, always in more urgent demand. And the science journals will surely raise prices – and get away with it – if their subscriptions go down.

So those concerned about the fate of the smaller journals in the humanistic studies had better read this report with a sharp eye. In the draft I have it is said, with perhaps unconscious humour, that the Periodicals Center will bring about 'a changing set of opportunities for journals.' Opportunities indeed! In a related and equally curious use of language we read again and again that journals will be 'permitted' to cease publication. There were Roman emperors who, in similar spirit, permitted their opponents to cut their veins.

If the Enquiry has determined that there are too many journals – this is nowhere stated – and that many of them should, like Iphigenia, be sacrificed to provide fair winds for research libraries, then this judgement might have been set down openly, with no double-talk about opportunities and permissions. But those who raise the sacrificial knife might pause to remember that the writings in the journals are the primary stuff of scholarship and that libraries are secondary and serving institutions. They might consider also what is to become of the research writings that are sent out into the cold. There are occasional references to synoptic publication, but for the most part journals are told to tighten their belts while their sustenance is taken from them.

How does it happen, one may ask, that so much good study, so much sound analysis, comes mixed together with such a one-sided and unbalanced conclusion? One can speculate that the drafters decided, in some kind of collective wisdom, that a couple of dozen research libraries – not all libraries – are the true heart of the whole scholarly system and that their welfare must be put ahead of all other needs. What is good for them, like what was once good for General Motors, had better be good for everyone. Only that kind of belief, either thought out with care or taken over ready-made, can explain the extreme library bias in a study meant to weigh the general scholarly welfare.

The rest of us need not view with such a narrow vision. Healthy research

libraries are a good to be desired but they are not the be-all and end-all of scholarship. The journals, the societies, the publishers, above all the authors themselves, need to be given equal consideration in a healthy system.

1/ *Scholarly Communication: The Report of the National Enquiry* is published by The Johns Hopkins University Press, Baltimore, Md 21218 (\$12.95 cloth, \$3.95 paper). The inception of the Enquiry was the subject of 'A National Enquiry into the production and dissemination of scholarly knowledge' by Chester Kerr, *Scholarly Publishing*, vol. 7, no. 1, October 1975, pp. 3-13.

2/ In the draft I have, the report predicts (under 'the Central Conclusion of the Enquiry') that creation of a National Periodicals Center 'will remove much of the pressure from interlibrary loan and will provide libraries with a dependable source from which to obtain copies of articles from journals too seldom used to warrant library subscription. The existence of a national periodicals center will reduce the number of back issues that each library must keep, thus relieving the pressure for expansion of library buildings. Payments to publishers through the Copyright Clearance Center for photocopies made in excess of fair use will also be handled much more efficiently through the periodicals center, relieving libraries of much of the bookkeeping burden.

'Coupled with development of a nationwide, computer-based bibliographic system, the creation of a national periodicals center will lead to a changing set of opportunities for journal publishers, particularly in scientific and technical disciplines. On the one hand librarians will have a new option to consider in addition to subscribing or relying on interlibrary loan, and presumably some will exercise that option by canceling subscriptions to seldom-used periodicals. On the other hand, the capacity created in the periodicals center should increase the market for alternative forms of publication, including on-demand production ... and synoptic or abstract publishing ... In a sense, the periodicals center will become a service and fulfillment center for these types of publications, thereby strengthening their economic base.'

3/ Bernard M. Fry and Herbert S. White, *Publishers and Libraries: A Study of Scholarly and Research Journals* (Lexington, Mass.: D.C. Heath, 1976). The summary quoted comes from an unpublished report prepared for the National Enquiry.

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Schmitt Information
Systems

Joseph T. Rubin
Rubin Associates

William M. Walker
Walker Associates

President
Paul G. Zurkowski

*Vice President For
Government Relations*
Robert S. Willard

Communication Director
Helena M. Strauch

DATE: May 16, 1979

TO: Members of the National Commission on
Libraries & Information Science

FROM: Paul G. Zurkowski, IIA

SUBJECT: National Periodical Center

At the invitation of Al Trezza, the Information Industry Association will be submitting a detailed recommendation regarding the National Periodical Center and its stated goal of "improving access to periodical literature for libraries and thus for people using libraries." More specifically we will address this matter by describing existing and easily established operations within the private sector that can play a role in the stated goal. We have been asked to provide this material by August 1, and will endeavor to make it available even sooner.

In the meantime, I would like to provide you with some preliminary comments, inasmuch as Al has indicated you will be discussing the NPC at your meeting on May 17-18. Furthermore, two of our member companies, University Microfilms International and Institute for Scientific Information, have agreed to provide directly to you some background material describing their respective capabilities.

I am enclosing a copy of our membership directory, because it provides an appropriate starting point to describe the rich diversity of resources present in the private sector. The index will direct you to 26 member companies categorized under the term "Document Acquisitions & Delivery." It is important to note that these are existing services, not just something on a drawing board.

It is also important, and absolutely essential to point out, that these services exist under a very real threat of extinction and that this threat will tend to prevent any expansion of capabilities. It would be foolish for a rational person to invest capital in an endeavor that shortly could be put out of operation by government subsidized competition in the form of the NPC.

However, it could be argued that now is exactly the right time to be investing in expanding capabilities for access to periodical literature. All of the arguments forwarded by the proponents of a National Periodical Center point up a growing demand both in volume of literature available and in number of users. (Of course, we will be looking at the demand question in greater

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detail ourselves. There have been some arguments that the principal reason for the discontinuation of the NTIS Journal Article Copy Service (JACS) was lack of demand.) At the same time, the supply capability is also changing: as the cost of information technology - communications, electronic logic and storage, and micrographics - continues to decrease, the marginal efficiency of information activities increases. The various documents supporting the NPC pay lip service to the technological changes occurring presently, but the configuration generally portrayed is a technologically primitive situation with a centrally located dedicated collection linked by teletype communications and relying on the U.S. Postal Service to deliver the product.

We intend to explore the technology question a good deal in our submission. Allan Whittman's analogy of the NPC as an attempt at "designing a better horseshoe when the automobile is just around the corner" is more than a figure of speech. The rapid advance of technology, including such things as storage of periodical articles in machine readable form, display of full text data base records on home television receivers, facsimile transmission direct from microform, private, packet-switched communication networks using satellite and microwave technology, high density storage devices such as bubble memories and video disks, and digitization of both alpha-numeric and graphic material, can lead to the development of a mechanism that will meet all the stated goals of the NPC and more, but will bear little resemblance to the structure now envisioned. Document delivery services intermediated by such services as Lockheed and SDC and the inter-library loan system being introduced by OCLC serve as current examples of the application of technology to NPC objectives. We plan to describe how these systems can be improved.

One might think it would be very easy and appropriate for interested parties in the private sector to sit around a table and agree to handle portions of a periodical access and delivery system. However, such activities are clearly in contravention of existing anti-trust law and would lead to exactly the same situation we feel is threatened by the NPC, that is an information service which is not subject to the classical efficiencies of marketplace competition.

Therefore when we talk about "existing and easily established operations within the private sector," we are limited to an enumeration of capabilities now being offered. However, we are asked to show how these private sector capabilities compare to the operations of a theoretical NPC which we have pointed out above limits those capabilities. The only reasonable approach to this dilemma is to describe a theoretical private sector mechanism reflecting the multiplicity and richness of the private sector as it now performs, at the same time warning that such a system can only come to fruition in a free market, unfettered by hidden government subsidies or the technological stagnation caused by the threat of future government monopoly.

We can describe such a system because we can see its exemplar in a number of other fields, such as airlines reservations or securities trading. We cannot guarantee that it will develop exactly according to the configura-

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tion we will describe, but we are certain that such a system will work and that it will meet the objective of "improving access to periodical literature."

We can understand the impatience of those who have been burdened by the inefficiencies of the existing inter-library loan and other mechanisms for access to and distribution of periodical literature. However we strongly urge the Members of the Commission not to seek precipitous action in the absence of a real consensus. IIA is not ready at this time to support the current legislative draft being circulated to members of the drafting team; this does not however, preclude our eventual enthusiastic support of a NPC structure that reflects our concerns. We will be proposing such a structure by our August 1 deadline. We look forward to working with you on this very important information issue in the months ahead.

Association of Research Libraries

1300 H Street, N.W., Washington, D.C. 20036

(202) 232-2466

FOR IMMEDIATE RELEASE

May 21, 1979

FOR FURTHER INFORMATION:

CONTACT SUZANNE FRANKIE, ARL OFFICE

Statement of the Association of Research Libraries

to the

National Commission on Libraries and Information Science

In Support of the Concept of the National Periodicals Center*

The periodical is the single most important medium for communicating information about the results of research to scholars, to industry, and to the interested public. Because of the serious financial retrenchments occurring in the 1970's, the ARL, as well as other library, publishing and information agencies, and scholarly and educational associations, have become increasingly concerned about the steady erosion of information services, particularly in regard to providing our users with access to periodical literature. Indeed, in the past seven years the ARL has conducted no less than five major studies relating to providing access to periodical literature through interlibrary loan. The extensive investigations of this problem by ARL included: feasibility studies regarding a communication system, mechanisms for document delivery, analysis of cost, and alternative methods of financing. These studies culminated in the Association in 1975 recommending the immediate establishment and continued support by the federal government of a national periodical resources library.

Last week, the ARL membership met in Boston and reaffirmed its 1975 action supporting the establishment of an NPC. We were pleased during our meeting to be able to discuss mutual interests and concerns with Charles Benton, who reviewed for the ARL membership recent NCLIS activities pertaining to the NPC.

In the time available to me I would like to summarize the reasons why the ARL believes there is a need for a National Periodicals Center, and why we support the concepts expressed in the legislative proposal prepared by the Legislative Drafting Team:

1. An NPC will greatly improve access to periodical publications. Those responsible for providing information services are less and less able to meet the demands of users for information. Purchasing power has been seriously eroded in the past decade and there are no indications that this situation will improve. At the same time, the number of

*This statement was presented on behalf of ARL by Richard Dougherty, Director of Libraries of the University of Michigan. The Presentation was made at the May 18, 1979 meeting of the Commission, held in Evanston, Illinois.



periodical publications, as well as their costs, are increasing significantly. This is not news to anyone, but what should be added here is that, contrary to the fears of some, an NPC will not result in libraries spending less money buying materials--what an NPC will do, is allow us to reverse the alarming shifts in collection expenditures from books to serials.

2. In order to have an efficient and reliable system, a dedicated comprehensive collection is essential. There is no other way to guarantee access and permanent availability of periodical publications.
3. There are no existing mechanisms capable of providing the services needed; libraries cannot, for the reason stated above. The current system of interlibrary loan is inefficient, inadequate and unreliable, and ARL has 5 studies to prove it. And finally, no segment of the for-profit sector could or wants to provide the full range of services needed--they don't have the collections, and there's no economic incentive to do so.

While the for-profit sector may play an important role in providing access to a limited number of titles, we must not delude ourselves that we can simply do a better job of coordinating what already exists, increase the number of reprints that are produced, and expect to provide upwards of 10 million copies of articles from 60,000 different titles published all over the world in the last 100 years. Similarly, to identify as an alternative developing a communications system, or a bibliographic system to perform the functions envisioned for an NPC is to ignore the central purpose of the NPC--which is document delivery. That is, knowing what titles exist and where they currently are, and being able to communicate this information, does nothing to insure that the titles are accessible and that there is a system to deliver them to the user. The NPC then is the locus of responsibility for providing access to materials in its own collection, and will coordinate the bibliographic, communications and referral support systems needed to accomplish the NPC goals.

The report of the National Enquiry into Scholarly Communication, which recommends the establishment of a NPC, is a thoughtful explication of the complex problems involved in the production and dissemination of information. We urge you to read this report carefully. It is important to note that the Board of Governors of the National Enquiry was made up of individuals from the scholarly, publishing and educational communities.

4. An NPC with a permanently available collection will eliminate the need for libraries to store and maintain extensive backfiles of periodical titles. This is probably the most significant economic "saving" for libraries resulting from the NPC.

The Association, of course, will be pleased to provide extensive documentation of statistical and other evidence relating to these arguments for the National Periodicals Center.

In addition, it is appropriate here to emphasize that the concept of the NPC as described in the draft legislation is based upon the essential premise that the kinds of services envisioned for the Center will be the result of the formation of a new kind of partnership between the profit and not-for-profit sectors. In this regard, careful consideration must be given to the role of existing agencies which are already in the business of providing services relating to access to information. We have in mind here, not only libraries, but agencies such as University Microfilms and the Institute for Scientific Information--to name two--who may have a legitimate interest and contribution to make to a National Periodicals System.

No one questions the potential importance of such existing agencies in helping to meet the goals of the NPC--indeed the draft legislation provides for the NPC to enter into contractual arrangements with such agencies. However, what is essential for all of us at this point, is to distinguish between 1) legislative issues upon which agreement is needed now, and 2) policy or management issues, which must be addressed by the NPC Board, once it is established by the legislation.

As examples of management issues requiring additional study, we would point to the Technical Development Plan for the NPC prepared by the Council on Library Resources. No one has or should at this point endorse this or any other plan which focuses on operational details, all of which must be carefully reviewed and evaluated at a later date by the NPC Board, taking into consideration existing resources and emerging technological capabilities. Similarly, the Board must establish the terms and conditions under which existing agencies would contract with the NPC to provide services, decisions regarding budgeting and financial management, and procedures involved in document delivery. All of this must come later--at this time we must concentrate on reaching agreement on the basic provisions to be included in the legislation, and avoid being prescriptive in areas which should be reserved for NPC management.

Finally, I would like to express on behalf of the Association of Research Libraries our sincere appreciation for the leadership the Commission has shown through the years in the planning of national information programs, and most notably, planning for a National Periodicals System. The NCLIS National Program statement published in 1975, the NCLIS study published in 1977 recommending the establishment of a National Periodicals System which would include a National Periodical Center, and sponsorship by NCLIS of the Open Forum on a National Periodicals Center, which resulted in the establishment of a Legislative Drafting Team, is a remarkable and unprecedented record of leadership by the Commission in moving us forward toward the realization of the goal of improved access to periodical literature. We are grateful to you.

While clearly it is the major responsibility of the library and information communities to move forward together in achieving the passage of legislation for a NPC, we would hope that you would reaffirm today the NCLIS endorsement of the National Periodicals Center concept, as have a number of other professional associations in recent weeks. Action to introduce this legislation, which will take place within the next several months, should involve all of us working together to achieve a common goal. We are ready to work with you, as well as other members of the profit and not-for-profit communities in forming a united front to achieve these objectives which are critical for fulfilling the information needs of this country.

THE CENTER FOR RESEARCH LIBRARIESBRIEF HISTORY AND DESCRIPTION

The Center for Research Libraries is most simply described as a "library for libraries". It is a non-profit, tax exempt institution founded in 1949 as the result of discussions originating among the presidents of the Big Ten universities plus the University of Chicago. Their concern was the need to solve two library problems. One was the potentially endless growth in the size of library collections, with a consequently endless need for a new or expanded library building on every campus every few years, that results from the need to keep acquiring new publications while still providing access to those previously acquired. The second was that despite their increasing expenditures and acquisitions, every research library was falling further and further behind in its ability to provide from its own collection all of the publications needed from time to time by its patrons.

Based on the knowledge that a very great many publications, though essential for research, were infrequently used, two programs were seen as necessary to help solve these problems. One was a centrally located facility, designed for maximum economy in housing books, in which libraries could deposit their older and less frequently used publications. This would enable them to reduce their costs for housing these materials and to control the growth of their local campus library. Careful cost estimates indicate that such a specially designed facility can house publications for about 75% less per volume per year than they can be housed in the conventional campus library. Substantial additional savings are possible when such a facility serves many libraries, making it practical to house only one copy of each volume for their joint use instead of each library having to house its own copy. The second program, to help solve the problem of the inability of each library to afford to buy for its own collection all of the publications its patrons need to consult, was for cooperative acquisition by the Center. Instead of every library having to buy, process, and house its own copy of needed publications that could be anticipated to be infrequently used, the Center would acquire, process, and house one copy for their joint use. Thus by avoiding unnecessary duplication between the members, the same total number of dollars would acquire and make readily accessible many times as many needed publications.

To carry out these programs, in 1949 the founding universities established a new organization, the Midwest Inter-Library Corporation. The University of Chicago gave it land, and the Carnegie and Rockefeller foundations jointly granted \$1,000,000 to build and equip the new facility and pay some of the other initial costs. A building with a storage capacity for 3,000,000 volumes was completed and operations begun in August 1951. Except for a few grants from other foundations for special acquisition programs since then, the member institutions have paid all operating and acquisitions costs of the Center by their annual membership fees.

As indicated above, the fact that made a cooperative solution to these problems possible was the knowledge that many publications, though essential for research, were used infrequently enough that several libraries could share the use of a single copy with little probability of conflict because there was not then precise knowledge of patterns of use, and of how many libraries might share the use of the same copy without undue conflict, it was thought best to limit membership to only those research libraries in the Midwest. But after several years of Center experience, augmented by studies of use in individual libraries, three things became clear. First that the problems the Center was created to help solve were the common problems of all research libraries, not simply those of the Midwest. Second, that a great many books were so infrequently used that all research libraries in the U.S. and Canada could share the use of a single copy without undue conflict. Finally, that the number of such publications was so great that even a region as populous as the Midwest was not large enough to support the acquisition, even at cooperative cost, of all of the publications its scholars and students needed to have accessible for use. Together these indicated that it was in everyone's interest for the Center to drop its geographical restrictions on membership. Therefore in 1965 this was done, and to avoid any continuing connotation of regionalism the name of the corporation was officially changed to be The Center for Research Libraries.

At the time of this change the Center's membership had grown from the original 10 founding institutions to 21. When the geographical restrictions on membership were dropped, Harvard was the first next university to join. The membership has continued steadily to increase to its present total of 180, with more joining each year. Of this total, 110 are the major research libraries of the United States and Canada, and the remainder are smaller universities, colleges, and governmental and private research institutions.

The Center's present collections, formed by both the deposit of infrequently used older materials from the members' own collections and by materials purchased directly by the Center, now amount to over three million volumes. They are as comprehensive in range of coverage by subject, language, form, and date, as those of its member research libraries. They differ primarily in that a very much smaller proportion of its newly published acquisitions are from the U.S. and Western Europe.



**National Commission
on Libraries and Information Science**

MINUTES

Program Committee Meeting

May 16, 1979

Members Present: Charles Benton (part-time); Frances Naftalin; William Welsh; and Joseph Becker, Chairman

Staff Present : Alphonse F. Trezza; Douglas S. Price; Ruth Liepmann Tighe; William D. Mathews; and Ruby O. Woods-Robinson

Guests Present : Robert Burns and Marian Leith (Research Committee; Marilyn Gell and Jerry Manolatos (WHCLIS staff; part time); and Mary Jo Lynch (American Library Association)

Mr. Becker explained the two-fold purpose of the meeting: (1) to understand existing NCLIS program commitments and their cost; and, (2) to review program plans for the next fiscal year. The eight objectives of the program document guided past program policy, but Mr. Becker said they should be re-evaluated and that the Program Committee's findings would be presented to the full Commission.

Mr. Trezza pointed out that NCLIS was limited in the extent it could alter its fiscal year 1980 plans because the Commission had already testified at Congressional Appropriations Hearings. The following facts were set before the Committee: (1) documents describing the fiscal year 1979 financial picture (CD's #79-22 and 79-23; revised April 30, 1979); (2) maximum authorized appropriation provided to NCLIS (public Law 91-345) is \$750,000; (3) fiscal year 1979 appropriation was \$648,000 plus a pay supplemental for \$12,000 was the maximum NCLIS had ever received; and, (4) the budget for studies has ranged between \$120,000 and \$160,000 per year.

Mr. Becker introduced William Mathews, staff liaison to the Research Committee, who provided a rundown on basic project commitments and staff ideas for new projects and then discussed additional projects which were up for consideration. He described (1) a proposal from the Network Development Office of the Library of Congress for \$30,000 to help fund a revision of the MARC (MAchine Readable Cataloging) format; (2) a proposal from the Council of National Library and Information Associations requesting additional support in the amount of \$10,000 for the American National Standards Committee Z39 in response to an NCLIS Task Force recommendation; and (3) a third proposal for analyzing alternatives to a National Periodicals Center.

A discussion followed to determine what fiscal year 1979 and fiscal year 1980 funds were uncommitted. Mr. Trezza said it was too late to issue RFP's (those exceeding \$25,000) for FY 1979 funds, adding that only interagency transfers and small contracts were still possible.

Mr. Becker suggested that the Program Committee might establish policy by specifying that certain percentages of the available funds be set aside for open forums, rescue missions, research on technical problems, etc. Mrs. Leith demurred, pointing out that the Research Committee felt that the Program Committee should indicate the objectives and that the Research Committee should determine the resources required to meet these objectives. Mr. Becker encouraged discussion to develop a program rationale. Mr. Welsh and Mr. Trezza pointed out the urgency of making decisions upon which the staff could base the fiscal year 1981 budget proposal, due to be submitted in early September. Mrs. Naftalin expressed a desire to link the expenditures of fiscal year 1979 and 1980 to those for fiscal year 1981, indicating that she would like an assessment of where we stood with relation to our program. Mr. Becker suggested that perhaps the new program policy ought to be supportive of the recommendations of the White House Conference. Mr. Price advised that the fiscal year 1980 budget request had, indeed, included funds for meetings aimed at implementing White House Conference recommendations. If new directions came from the WHC, Mr. Welsh suggested that we go back to the Office of Management and Budget and Congress and ask for authority to reprogram.

At this point, Mr. Benton joined the group and Mr. Becker summarized the discussion. He repeated the key questions before the group: (1) What should our forward policy be with respect to support for fiscal year 1979 and 1980 programs? and, (2) What instructions should be given to staff to permit them to proceed with the budget process? He noted that the Committee seemed to be in agreement that the outcomes of the White House Conference should govern our future activities and that we could request reprogramming authority from OMB to do this in fiscal year 1981. More discussion then followed on the relationship between the Research Committee and the Program Committee.

Mr. Sprague asked if the Governance Document specified who set the budget. The budget, Mr. Trezza replied, was set by the Commission as a whole based on Program and Research Committee recommendations. Mr. Becker added that the Program Committee could, for example, stipulate what funds were available for reprogramming in support of White House Conference recommendations and that the Research Committee would then consider individual projects in that context. Mr. Burns said that as a member of the Research Committee, he would be comfortable with that. After some additional discussion, Mr. Becker offered the additional suggestion that the available funds might be turned over to the White House Conference, but Mr. Welsh and Mr. Trezza pointed out that this could not be done because of the prohibition against "augmenting" a specific appropriation. It was agreed that NCLIS would use whatever flexibility it had in fiscal year 1980 and 1981 to support the White House Conference recommendations.

The Committee then listed the projects which could be supported in fiscal year 1979:

2 Commission Committee Meetings	\$8,000
Cultural Minorities Effort	3,500
Media Base Implementation	5,000
MARC Revision	30,000
Z39 Support	10,000

This would leave \$33,000 for additional specific proposals emanating from the Research Committee. Mr. Sprague then recommended funding for a Commission retreat at which all Committees would learn how to operate under the new governance ground rules; how NCLIS spent its money in the past; and, how the OMB/Congressional appropriations process works, so that Commissioners can make constructive decisions. Mrs. Naftalin urged, in addition, that a pre-White House Conference meeting also be held for Commissioners to acquaint them with conference themes and issues. Mr. Trezza said this could be done at the joint White House Conference Advisory Committee/NCLIS meeting scheduled in September.

The Committee recommended that the "retreat" be held, and that the aforementioned projects be undertaken (including Research Committee projects); the Committee gave Media Base implementation a low priority.

Mr. Trezza then asked for Committee approval of a position letter on the Higher Education Act revision (CD #79-53). After some discussion, the Committee approved the letter.

The meeting ended at 5:15 p.m.



**National Commission
on Libraries and Information Science**

FORMAL MOTIONS AND ACTIONS

May 17 and 18, 1979

It was MOVED by Philip Sprague, seconded by Robert Burns, that the Minutes of the March 8 and 9, 1979, NCLIS meeting be accepted as submitted. Further, it was requested that the official tapes of the previous meeting be available at subsequent meetings. Passed unanimously.

It was MOVED by Marian Leith, seconded by Robert Burns, to approve the four categories of delegates: voting delegates, alternates, official observers, and observers, and two new positions for representatives of the Federal library community. Passed unanimously.

It was MOVED by Philip Sprague, seconded by Clara Jones, that (1) the terminology "non-voting at-large delegate" be changed to "official observer," and that category will include representatives of organizations and dignitaries; (2) that official observers' expenses not be covered by White House Conference funds, with the exception of Members of the National Commission and WHCLIS Advisory Committee; and (3) that official observers will be accommodated at the Conference on a first-come, first-served basis. Passed unanimously.

It was MOVED by Clara Jones, seconded by Robert Burns, to make available to White House Conference delegates and alternates the widest possible range of issues and viewpoints on subjects related to the WHCLIS through materials received in quantities of at least 1500 copies from groups or individuals and distributed at the Conference. Materials disseminated in this manner will carry a cover note indicating that distribution by the WHCLIS office does not constitute endorsement of the opinions and ideas contained therein. Further, it was MOVED by Bessie Moore, seconded by John E. Velde, Jr., that all material distributed by the White House Conference be properly marked for identification purposes and labeled "official."

It was MOVED by Robert Burns, seconded by Mildred Younger, that the staff be authorized to move expeditiously toward planning for a theme exhibit, subject to the availability of necessary funds. If unrestricted corporation donations cannot be obtained, the staff is further authorized to have trade exhibits. Note: John E. Velde, Jr., volunteered to serve as Chairman of a Fund-Raising Committee to obtain the needed \$500,000 for the exhibits.

It was MOVED by Philip Sprague, seconded by Joseph Becker, that \$750,000 supplemental NCLIS funds be requested for implementation and follow up of White House Conference recommendations. After discussion, Mr. Sprague withdrew his motion, with reluctance, and no further action was taken.

It was MOVED by William Welsh, seconded by Marian Leith, that the Executive Director assume responsibility for reconciling reported WHCLIS/USOE fiscal discrepancies, reporting findings, and submitting a status report on this finding to the Commission within 30 days. Passed unanimously.

It was MOVED by Philip Sprague, seconded by John E. Velde, Jr., to use NCLIS funds for White House Conference public information activity, as suggested by the Public Information Committee. Passed unanimously.

It was MOVED by Bessie Moore, seconded by acclamation, that, as suggested by Dr. Frederick Burkhardt, Chairman-Emeritus, the National Commission pass a resolution in honor of Mr. Charles H. Stevens, former NCLIS Executive Director, who recently passed away.

It was MOVED by Marian Leith, seconded by Clara Jones, that the Commission:

- (1) Endorse, in general, the concepts articulated in the draft NPC legislative proposal of April 26, 1979;
- (2) Encourage the continuing activities of the NPC Advisory Committee, in particular, the preparation of background documents and the collection of further input from interested groups; and
- (3) Without delay, commence an intensive effort to develop specific, precise, and detailed determinations on matters of the National Periodicals Center:
 - (a) Cost;
 - (b) Performance;
 - (c) Private sector involvement;
 - (d) Technical configuration;
 - (e) Impact of technology;
 - (f) Possible phasing of implementation; and
 - (g) Relation of the NPC to other components in the National Periodicals System.

The motion was passed unanimously.

It was MOVED by Philip Sprague, seconded by Carlos Cuadra, that the following NCLIS activities be undertaken, in order of priority and in the amounts committed as listed:

(1) NCLIS Special Meeting	\$20,000
(2) National Periodicals Center	30,000
(3) White House Conference, Public Information Activity	24,000
(4) Cultural Minorities	3,500
(5) Committee Meetings	10,000
(6) Z-39	<u>10,000</u>
	\$97,500

Two other activities (MARC project, \$30,000; and Project Media Base implementation, \$5,000) are to be reconsidered for possible funding in fiscal year 1980.

The motion was passed unanimously.

It was MOVED by Philip Sprague, seconded by Frances Naftalin, to support the revision of the Higher Education Act, as outlined in the Executive Director's memorandum dated May 15, 1979. Passed unanimously.

It was MOVED by John E. Velde, Jr., seconded by Marian Leith, that the 1977-78 Annual Report be delivered to the Government Printing Office for printing and publication. Passed unanimously.

As Chairman of NCLIS and WHCLIS, Mr. Charles Benton appointed Mr. Philip Sprague to serve on the WHCLIS Advisory Committee as one of three Commission Members.

By general agreement, the Members decided not to accept a lower rate of pay for the special July meeting, as had been suggested by the Chairman.

By general agreement, the Research Committee will conduct a conference call to discuss the brief paper on the revision of Title 44: United States Code "Public Printing and Documents."