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Federal Assistance to Libraries: Current Programs and Issues

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FEDERAL ASSISTANCE TO LIBRARIES: CURRENT PROGRAMS AND ISSUES

SUMMARY

A variety of Federal programs and agencies provide assistance to public, college, and school libraries. In addition to grant programs, the Federal Government provides library-related research, development, technical assistance, and leadership services, as well as directly providing library materials or services to individuals and other libraries in several fields. While each of these programs is relatively small--the fiscal year 1992 appropriation for the largest grant program specifically for libraries is $83.9 million--the aggregate level of Federal assistance to libraries, including both grants and other forms of aid, as well as the relative Federal contribution to certain types of library services, is more substantial.

The Federal programs of aid to elementary and secondary school libraries have been significantly revised in recent years, while the program of aid to public libraries was reauthorized by the 101st Congress. Programs of aid to college libraries are being considered for reauthorization by the 102d Congress. A second White House Conference on Library and Information Services took place in 1991.

The Federal Government has also assisted libraries through the activities of the Library of Congress, the National Commission on Libraries and Information Science, the National Endowment for the Humanities, and such Federal libraries as the National Library of Medicine and the National Agricultural Library.

A number of issues have arisen regarding these and other Federal library programs and agencies, particularly issues related to effectiveness, need, funding levels, and coordination of similar programs or activities; these issues, along with relevant background information, are discussed in this report.
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FEDERAL ASSISTANCE TO LIBRARIES: CURRENT PROGRAMS AND ISSUES

A variety of Federal programs have provided financial or material assistance to public, school, and college libraries since enactment of the original Library Services Act in 1956, or even the initiation of the Federal depository library system in 1859. Although continued Federal funding for most of these programs has been questioned, the programs have continued, and some of the smaller ones have experienced a modest expansion in terms of their appropriation levels and authorized activities. This report provides background information on these programs, including brief information on their structure, authorized activities, funding levels, available program evaluations, and issues.¹

The programs and activities covered in this report are as follows:

- Federal library grant programs:
  -- aid to public libraries under the Library Services and Construction Act,
  -- other Department of Education (ED) activities affecting public libraries;
  -- aid to college libraries under the Higher Education Act (HEA),
  -- aid to elementary and secondary school libraries under title I, chapter 2 of the Elementary and Secondary Education Act (ESEA), and
  -- grants to libraries by the National Endowment for the Humanities (NEH);
- the National Commission on Libraries and Information Science;
- the two White House Conferences on Library and Information Services; and
- assistance to libraries provided by the Library of Congress and other Federal libraries and agencies.

¹Discussions of issues are provided only for the library grant programs and the principal Federal agencies involved with libraries.
An appendix table provides summary information on FY 1992 and 1993 funding for selected library assistance programs.

**FEDERAL LIBRARY GRANT PROGRAMS**

**AID TO PUBLIC LIBRARIES UNDER THE LIBRARY SERVICES AND CONSTRUCTION ACT**

The Library Services and Construction Act (LSCA) was the first, and continues to be the largest, Federal program of assistance specifically to libraries. As most recently amended in 1990 (P.L. 101-254), the LSCA contains eight titles that authorize aid to public libraries. The LSCA programs are currently authorized through FY 1994. With the exception of the new titles VII and VIII authorized in P.L. 101-254, funds have been appropriated for all titles of the LSCA in recent years.\(^2\) Grants are allocated by statutory formula to the States under titles I-III of the LSCA, while titles V through VIII are smaller, discretionary grant programs, where awards are based on national competition among applicants. In addition to the library assistance programs authorized in titles I through VIII, the Act requires that libraries receiving LSCA funds not discriminate on the basis of race, religion, age, gender, national origin, or handicapping condition in providing space for public meetings.

**Title I, Library Services**

Title I of the LSCA is the largest Federal assistance program specifically for libraries, with an FY 1992 appropriation of $83.9 million. While LSCA title I is also the most broad and general of the Federal library programs, the legislative intent is that title I funds not be used for general operations; rather they should be used to expand the range of library services offered in the States, either by serving previously unserved or underserved populations—especially the elderly, the disabled, or those living in residential institutions—or by providing new types of services to the public at large. Specific activities that may be supported with LSCA title I funds include library technology enhancement, library services to child care facilities, intergenerational library programs in which older adults assist school-age children, local library literacy centers, and drug abuse prevention programs. To help assure that Federal funds are supplementary, LSCA title I includes a series

\(^2\)As will be described further below, title IV of the LSCA is not funded as a separate program. Title IV provides that 1.5 percent of the appropriations for each of titles I-III be used for grants to serve American Indians, and that 0.5 percent be used for grants to serve Native Hawaiians.

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**LSCA title I funds should be used to expand the range of public library services, either by serving previously unserved or underserved populations or by providing new types of services to the public.**
of maintenance-of-effort requirements.\(^3\) As is discussed later in this report, in
the section on program issues, there have been mixed findings regarding the
extent to which LSCA title I funds have been used for service expansion versus
maintenance of existing services.

Title I grants are allocated to the States on the basis of a formula that
includes a State matching requirement. Two percent of total title I
appropriations are set-aside for grants to organizations or agencies providing
library services to American Indians and Native Hawaiians (under title IV).
From the remaining funds, each State first receives a flat grant of $200,000
($40,000 for each Outlying Area\(^4\) ), while additional funds are allocated among
the States on the basis of their total population. The required State matching
rate varies from 33 to 66 percent of the total (Federal plus State match)
program costs, depending on the State's personal income per capita in
comparison to the national average. The lower the State's relative personal
income per capita, the lower the required matching percentage.

The distribution of LSCA title I funds among public libraries within States
is conducted largely at the discretion of the State library agencies. One
limitation is that in years when title I appropriations exceed $60 million, a
portion of the title I grant in most States must be reserved for libraries serving
cities with a population of 100,000 or more.\(^5\)

The appropriations authorization level for LSCA title I is $100 million for
FY 1990 and "such sums as may be necessary" for FY 1991-94. The FY 1992
appropriation is $83,898,000.\(^6\)

\(^3\)In order to receive title I grants, States must assure that State and local
expenditures for title I purposes will equal or exceed 90 percent of such State
and local expenditures for the second preceding year; that expenditures for the
State library administrative agency will equal or exceed 90 percent of the
amount for the second preceding year; and that expenditures from all sources
for library services to institutionalized and disabled persons will equal or exceed
such expenditures for the second preceding year, unless there has been a decline
in these populations.

\(^4\)The Outlying Areas are American Samoa, Guam, the Northern Mariana
Islands, the Virgin Islands and, until adoption of its Compact of Free
Association, Palau.

\(^5\)The required proportion of grants, made from appropriations in excess of
$60 million, that must be reserved for libraries serving cities with a population
of 100,000 or more varies by State, depending on whether the State contains any
such cities and, if so, whether 50 percent or more of the total State population
resides in such cities.

\(^6\)Throughout this report, appropriation figures for LSCA titles I-III include
the 2 percent that is reserved for services to Indians and Native Hawaiians.
Issues

The primary issues with respect to LSCA title I, and the LSCA in general, are whether the Act's purposes have been met, and whether the program continues to have substantial impact on the availability and quality of library services. The primary original purpose of the Library Services Act of 1956 was to extend public library services to rural and other areas that had no public libraries. This basic goal would appear to have been met; ED estimates that 96 percent of the United States population has access to public library services, and that the remaining 4 percent live in such isolated circumstances that extension of services to them would be uneconomical. However, there is no general consensus on standards for "adequate," as opposed to minimal, public library services, nor may it be justifiably claimed that 96 percent or more of the American population has access to "adequate" public library services.

In comparison to total revenues for public libraries from all sources, LSCA title I funds, or even all LSCA grants, would be relatively insignificant. A recent ED survey of public library revenue sources in 1989 found that only 1.4 percent of public library revenues were reported as coming from the Federal Government, with the bulk of revenues (81.2 percent) being provided by localities, and a small share (8.0 percent) from State governments. The remaining revenues (9.4 percent) were said to come from "other" sources, which may include Federal aid received indirectly. Thus, the 1.4 percent Federal share is likely to understate the Federal contribution to public libraries. First, Federal aid to public libraries is often indirect, and may have been categorized in the State or "other" categories by survey respondents. Second, some forms of Federal aid are "in kind"—e.g., interlibrary loans or services to the blind or physically disabled from the Library of Congress, materials received through the depository library system (these services are described later in this report)—and would not be included in revenue calculations. Finally, if the total of LSCA appropriations for FY 1989 ($127,165,000) is compared to the survey's figure for total public library revenues (all sources) for 1989 ($4,077,662,695), the resulting estimated Federal share is 3.1 percent.

Whatever their share of total public library revenues, LSCA title I funds are not intended to be used for general operations, but for innovative services or services to special populations, such as the elderly or those in institutions. Unfortunately, the most recent evaluation of actual use of LSCA title I funds

was published in 1981, and is based on data from 1978. According to that study, the use of LSCA title I funds was almost evenly split between ongoing services to the general public, versus innovative programs or services to special populations—e.g., disabled, limited-English proficient, Indian, institutionalized, or other disadvantaged persons. However, many of the "ongoing services to the general public" appear to have been services initiated earlier with LSCA title I funds, and may have been deemed to be "innovative" at the time of their initiation, if not currently. Further, the distinction between "innovative" versus "ongoing" services is not clearly defined in the LSCA, and may be subject to debate. Therefore, the fact that an LSCA title I-supported service was not found in this study to be "innovative" does not necessarily mean that Federal funds simply supplanted State and local revenues for basic library services. The authors of the 1981 evaluation recommended modifications to the legislation and to oversight activities by ED to reduce the extent to which title I funds were used to maintain existing services, although this would have the disadvantage of reducing the large degree of flexibility that States now have to determine the uses and distribution of funds.

The 1981 study also found that LSCA title I funds represented 25 percent of all funds specifically devoted to State-sponsored, innovative, public library projects. Such projects involved the introduction of new technologies, community outreach services, continuing education for librarians, provision of services to the blind and physically disabled, establishment of regional library systems, and improving the capacities of State library agencies. Thus, the potential significance and effect of LSCA title I funds depends primarily on whether they are viewed as a relatively small part of the total revenues of libraries, or as a relatively substantial share of "seed money" for expanded and innovative services.

Title II, Public Library Construction

Assistance for public library construction projects is authorized under title II of the LSCA. Authorized uses of title II funds include, but are not limited to, construction to remove barriers to access by disabled persons, to conserve energy, to enhance library technology, or to renovate historic buildings for use as public libraries. Construction projects assisted under title II must promote preservation of library materials.

LSCA title II funds are allocated to States using the same allocation formula and matching requirements as for title I, with two exceptions. First, the flat grant amount is $100,000 for each State ($20,000 for each Outlying Area). Second, the Federal share of total construction costs for each individual project assisted under title II may not exceed 50 percent. Grants for individual projects within each State are made at the discretion of the State library agency. Funds were not appropriated for LSCA title II throughout most of the 1970s.

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and early 1980s. However, Federal support for this program was revived in FY 1983, and it has been funded in each of FY 1985-1992.

The appropriations authorization level for LSCA title II is $55 million for FY 1990 and "such sums as may be necessary" for FY 1991-94. The FY 1992 appropriation is $16,718,000.

Issues

In general, Federal programs in the areas of education, arts, and humanities provide few funds for construction, other than "minor remodelling" to the extent necessary to provide a specific type of service. This is at least partially because construction is usually considered to be a "basic" cost of providing education and related services, while Federal aid tends to be limited to the "supplementary" costs of providing "special" services. Similarly, no funds were appropriated for LSCA title II between fiscal years 1974 and 1982. However, funds have been provided under title II in FY 1983, as part of an "anti-recession" supplemental appropriations act, and in each year since 1985. The primary issues with respect to this assistance are whether it is an appropriate Federal role, and whether the aid is necessary.

While States are given substantial discretion in awarding LSCA title II funds, projects to be assisted include but are not limited to those to increase access to libraries by the disabled, to conserve energy, to accommodate new technologies, or to convert historic buildings for use as libraries. Further, States and localities are required to match the Federal funds for each construction project, on at least a one-to-one basis. Thus, title II funds provide only partial support for construction projects that are intended to help meet a Federal mandate (with respect to accessibility for the disabled) or national legislative goals (of energy conservation, preservation of library materials or of historic buildings, or adoption of new information technologies) under the LSCA or other statutes. In particular, the need for construction activity to increase access for the disabled has presumably been expanded with the recent enactment of the Americans with Disabilities Act.

Nevertheless, there is no requirement that title II funds be used to meet any of the above purposes, and the legislation contains no test or measure of need, other than the income-related matching requirement. As a result, it might be argued that title II funds may largely supplant State or local funds that might otherwise be used for construction of public libraries.

Finally, title II grants may be viewed in the context of total expenditures for public library construction in the United States. The annual average of total public library construction and renovation expenditures in FY 1985-1990 is reported as having been $234 million.9 The FY 1992 appropriation for title II

of $16,718,000 would represent approximately 7 percent of such an expenditure level.

Title III, Interlibrary Cooperation and Resource Sharing

Title III of the LSCA authorizes grants to the States for planning, developing, and implementing cooperative library resource-sharing networks. Historically, such resource-sharing primarily has taken the form of interlibrary loan programs, under which books or other materials not available at one library could be provided through other cooperating libraries in the region or State. While such interlibrary loan networks may still be supported under title III, the program currently assists a variety of new forms of information technology, such as computer bibliographic systems that are communicated through telephone lines. Under P.L. 101-254, States may also use title III funds for preservation of library materials.

LSCA title III funds are allocated to States using the same allocation formula as for title I, with two exceptions. First, the flat grant amount is $40,000 for each State ($10,000 for each Outlying Area). Second, there are no matching or maintenance-of-effort requirements for title III.

The appropriations authorization level for LSCA title III is $35 million for FY 1990 and "such sums as may be necessary" for FY 1991-94. The FY 1992 appropriation is $19,908,000.

Issues

It is highly probable that LSCA title III funds helped to stimulate the development and rapid growth of interlibrary loan programs and regional library consortia in the early years of the program, and of computerized bibliographic information transfer networks more recently. The major current issue for this program is whether the title III funds any longer significantly stimulate the development or expansion of these services, or the initiation of newer information and communications technologies, such as optical (laser) disks or satellite information retrieval.

Unfortunately, the lack of any significant or recent evaluations of this program make it impossible to provide reliable answers to such questions. While it is possible that title III funds are now largely used to maintain services that were initiated with previous title III grants, and that might be continued with State or local funds if title III aid were no longer available, there is no way to confirm such a hypothesis. Alternatively, title III funds might continue to be focused primarily on "cutting edge" information sharing techniques that are rapidly developing. While these newer information technologies are generally assumed
to be more cost efficient over time—that is usually a primary rationale for their development—they frequently involve substantial "up front" costs that libraries often find it difficult to meet.

As noted elsewhere in this report, certain other Federal agencies—particularly the Library of Congress, the National Commission on Libraries and Information Science, and the National Science Foundation (NSF)—conduct research, development, and dissemination activities related to library technologies. Therefore, a secondary issue related to LSCA title III is whether the Federal Government can best aid libraries in this area through continued—and perhaps expanded—research and development, or through the financial assistance for implementation under title III. It might also be asked whether these related activities are sufficiently coordinated to be efficiently conducted and the results widely disseminated.

Title IV, Library Services for Indian Tribes

Title IV of the LSCA is not a separate authorization of appropriations; rather, it provides that certain funds from appropriations for titles I through III be set-aside to support services to American Indians and Native Hawaiians. The amount of each of title I through III's appropriations to be set-aside is 1.5 percent for American Indian tribes, and 0.5 percent for Native Hawaiians. Half of the funds available to serve American Indians are to be allocated in equal portions to each applicant Indian tribe, with the other half distributed on a competitive basis among such tribes. Each program for which funds are so granted must be administered by a librarian. The grants for services to Native Hawaiians are to be distributed to organizations representing such persons that are recognized by the Governor of Hawaii. The provisions of title IV were added to the LSCA by the 1984 amendments to that Act (P.L. 98-480). For FY 1992, a total appropriation of $2,410,000 was set aside for LSCA title IV.

Issues

At least partially because this is a relatively small program, involving set-asides of funds from the existing LSCA titles I through III, there have been no evaluations, and no major issues have arisen. Descriptive data from ED indicates that in FY 1990, the funds for services to American Indians were distributed through 172 basic (equal amounts per tribe) and 13 special project (competitive) grants. The basic grants were used primarily to purchase library materials and to supplement the salaries of library staff. The special project grants were devoted largely to building new facilities or acquiring computer equipment. The funds reserved for services to Native Hawaiians were used for eight local projects to increase access to library services, build collections, provide staff training, or supplement salaries for Native Hawaiian librarians.10

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As this program develops, issues might arise regarding the distribution of these funds, and the efficiency with which the funds are used to provide library services to Indians and Native Hawaiians. It might be questioned whether the practice of providing small basic grants to each of several Indian tribes and Alaskan Native villages is an effective use of funds, although the provision of equal grants per applicant tribe from one half of the reserved funds is required by the authorizing legislation. Finally, it might be questioned whether the grant for services to Native Hawaiians is disproportionately large in comparison to the number of such individuals. According to the 1990 Census, there were 211,014 Native Hawaiians, 1,959,234 American Indians (including Eskimos and Aleuts), and 246,539,625 other persons in the United States in that year. On the basis of these population figures, FY 1992 appropriations for LSCA titles I-III would be equal to $0.48 per person for the non-Indian/non-Hawaiian population, $0.82 per person for American Indians, and $3.82 per person for Native Hawaiians. Thus, while all three amounts are small on a per capita basis, the amount for Native Hawaiians is approximately eight times as high as for the general population, and more than four and one-half times as high as for American Indians.

Title V, Foreign Language Materials Acquisition

Under title V of the LSCA, grants are authorized for the acquisition of foreign language materials. Grants are to be made on a nationally competitive basis, and--in general--no annual grant shall be for more than $35,000; however, up to 30 percent of title V grants may be used for grants of up to $125,000 each. Funds have been appropriated only since FY 1991 for this title, which was added to the LSCA in 1984 (P.L. 98-480). The appropriations authorization is $1 million for FY 1990 and "such sums as may be necessary" for FY 1991-94. The FY 1992 appropriation is $976,000.

Issues

As this program has only recently been funded, no issues have arisen with respect to it. For each of FY 1991 and 1992, a total of 31 grants were made under this program, with an average award of $31,484. It might be questioned whether a program with such a low authorization level could have a significant impact on the foreign language collections of more than a very small number of public libraries. Alternatively, it might be argued that increased national interest in foreign language education, and the increased rate of immigration from non-English speaking countries, might justify the provision of funding for LSCA title V.

Title VI, Library Literacy Programs

LSCA title VI authorizes grants for adult literacy programs in public libraries, to be made on the basis of National competition. No annual grant may exceed $35,000. The grants may be used for coordinating, planning, promoting, or conducting literacy programs in public libraries. Grants may also be used for training librarians and volunteers to participate in such programs. There is also
a related, and thus far unfunded, authorization for library learning center programs under title VIII of the LSCA (see below).

The appropriations authorization level for LSCA title VI, which was added to the LSCA in 1984 (P.L. 98-480), is $10 million for FY 1990 and "such sums as may be necessary" for FY 1991-94. The FY 1992 appropriation for this program is $8,163,000.

Issues

The primary issues for LSCA title VI are whether such a small program with a relatively low grant size limit ($35,000) can significantly reduce the extent of adult illiteracy; whether this program complements—or duplicates—the programs of the Adult Education Act; and whether grants under this program will significantly add to the number of library literacy activities being conducted without Federal assistance.

Since 1981, a Coalition for Literacy has been sponsored by the American Library Association and a number of other organizations, such as the International Reading Association and the American Association for Adult and Continuing Education. Using funds provided by private foundations and other sources, the Coalition provides technical assistance, advertising, and other services to libraries conducting literacy programs throughout the Nation. The existence of this privately sponsored and funded network might help to increase the efficiency with which LSCA title VI grants are utilized; alternatively, with library literacy activities already being stimulated and assisted by this network, LSCA title VI grants might have little net impact.

As yet, there have been no evaluations that might indicate which of these hypotheses would more accurately portray the effects of this program. Descriptive data from ED indicate that in FY 1990, 18 title VI grants were made to States—primarily to train librarians and volunteers, coordinate statewide literacy networks, or provide technical assistance to local librarians. Also in FY 1990, 219 grants were made to local libraries for acquisition of instructional materials, recruit and train volunteers, and to promote literacy programs in local communities. In 1988, ED published a survey of library literacy programs, including a discussion of program models, but this did not focus specifically on LSCA title VI programs or on evaluation of program effectiveness.

Title VII, Evaluation and Assessment

One of two new titles added to the LSCA in 1990 (P.L. 101-254), title VII authorizes the appropriation of $500,000 for FY 1990 and "such sums as may be

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11Ibid., p. 609-1 and 609-2.

necessary" for FY 1991-94 for evaluation and assessment of LSCA programs. No funds have yet been appropriated for this program.

Issues

As noted above, especially with respect to LSCA title I, the lack of recent evaluation data has been a significant hindrance to oversight on the uses of Federal library aid funds. If money is appropriated for the new title VII, the resulting evaluation studies should help to fill this void.

Title VIII, Library Learning Center Programs

This title was also added to the LSCA in the 1990 amendments (P.L. 101-254). Part A authorizes grants to local public libraries for family learning centers. These centers would provide a variety of services to support educational activities of parents and their children. Priority would be placed on services to adolescent parents, single-parent families, families in which both parents are employed outside the home, families with limited English language proficiency, plus educationally disadvantaged adults and their children. At least 25 percent of grant funds must be used for acquisition of materials, and at least 10 percent for computer hardware and software. No annual grant under part A could exceed $200,000.

Part B of LSCA title VIII authorizes grants to State library literacy centers. These centers would disseminate materials and assistance to adult literacy programs in public libraries, such as those assisted under LSCA title VI. State grants may not exceed $350,000 in the first year that a State receives a part B grant, and $100,000 in the second or third year. Second and third year grant funds must be matched, on a one-for-one basis, from non-federal sources.

No funds have yet been appropriated for this new title. The appropriations authorization is $6 million for FY 1990 and "such sums as may be necessary" for FY 1991-94, with any appropriations to be divided equally between parts A and B. No funds may be appropriated unless total appropriations for LSCA titles I through III equal or exceed 104 percent of the previous year level.

Issues

As with LSCA title VII, few issues can arise with respect to a program that has not yet been funded. If title VIII were funded, it might be questioned whether the new programs duplicate, or complement, the library literacy programs of LSCA title VI.

OTHER FORMS OF DEPARTMENT OF EDUCATION ACTIVITY AFFECTING PUBLIC LIBRARIES

After a period in the early 1980s of relative inattention to public and other library issues, apparently in concert with the Administration's proposals to terminate Federal library grant programs, ED has in recent years initiated
certain additional forms of support for libraries. These activities have included development of a new library data collection system, dissemination of information on model library programs, and exploration of research possibilities regarding public (and other) libraries.

The 1988 amendments to the authorization for the National Center for Education Statistics (NCES) require the NCES to prepare reports on libraries in the United States. In response, the NCES has initiated the development, along with the State library agencies, of a national cooperative system of library statistics. This system is intended to collect and publish annual data on library resources, finances and utilization. The first data survey under this new system was conducted in 1989, and contains 1988 data for public libraries in 44 States and the District of Columbia; the second survey collected and reported data on local libraries in 49 States plus the District of Columbia, with State summary data for the final State. Another recent NCES survey focused on public library services for children.

In 1987, ED published a report on model public library programs, entitled Check This Out. This report provided the results of an effort to identify exemplary public library programs, so that information on these could be disseminated though the Department's National Diffusion Network. Sixty-two library programs are described in the report. The programs are aggregated into nine service areas, such as services to special populations, innovative and effective uses of information technology, and teaching elementary and secondary school students how to conduct research in public libraries. Other recent ED surveys of library services, such as the one on library literacy programs discussed earlier, have included information on model local programs.

After a period of inattention to library issues, apparently in concert with Administration proposals to terminate Federal library grant programs, ED has in recent years initiated new forms of research and development or other support for libraries.

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14The Department of Education had prepared occasional reports on public library statistics in preceding years, but had not been collecting or reporting these data on a comprehensive or systematic basis.


Finally, ED has recently been exploring possible library research agendas, although not yet funding additional library research activity. In 1986 and 1987, ED held a series of field meetings intended to identify issues currently of major concern to librarians. The issues identified were:

- Federal, State, and local government responsibilities for providing library services,
- education and training of librarians,
- public access to information,
- preservation and archives,
- indexing and retrieving materials,
- relationship to educational institutions,
- funding levels,
- library service models,
- information users and their needs, and
- the role of the public services librarian.

The ED commissioned the preparation of reports on the state of knowledge in, and the need for further research on, most of these issue areas. These reports were published by ED in October 1988 (Rethinking the Library in the Information Age, Issues in Library Research: Proposals for the 1990s). ED is also funding research activities, primarily through title II, part B, of the HEA (see below). These have included completed research reports on possible ways to measure the effectiveness of public library services, and on library literacy services.17

AID TO COLLEGE LIBRARIES UNDER THE HIGHER EDUCATION ACT

Several forms of assistance to libraries at institutions of postsecondary education are authorized under title II of the HEA, Academic Library and Information Technology Enhancement. The legislation authorizing these programs was most recently amended and extended in the Higher Education Act Amendments of 1986 (P.L. 99-498). Title II of the HEA has authorized aid to college libraries since the Act was initially adopted in 1965 (P.L. 89-329). In FY

17The library literacy program report was noted above, in the discussion of LSCA title VI. The study of possible concepts of measuring public library effectiveness was Childers, Thomas and Nancy A. Van House. The Public Library Effectiveness Study. Drexel University, 1989.
1992 and the immediately preceding fiscal years, funds have been appropriated for parts B (Library Training, Research and Development), C (Research Libraries) and D (College Library Technology and Cooperation) of title II; funds were last appropriated for part A in FY 1981.

The 102d Congress is currently considering legislation that would extend and amend these programs. S. 1150, the Higher Education Amendments of 1991, has been passed by the Senate, while H.R. 3553, entitled the Higher Education Amendments of 1992, has been reported by the House Committee on Education and Labor, and a second bill, H.R. 4471, incorporates the provisions of H.R. 3553 with respect to HEA title II. Both of these bills would terminate the current title II, part A program, replacing it with an amended version of the current part D program. Both bills would also extend the part B and C programs in amended form. In addition, the House bill (only) would authorize a new part D program, Strengthening Library and Information Science Programs in Historically Black Colleges and Universities.

In addition to the library assistance programs of the HEA, the Federal Government has occasionally provided specific appropriations to individual college libraries in annual appropriations legislation for ED or other agencies. In some cases, these libraries are designated as memorials to former Members of Congress or other persons. Some of these grants are specifically authorized in statutes enacted previous to the appropriation, others are implicitly authorized by the appropriation act itself.

It is beyond the scope of this report to provide a comprehensive list if these specific library grants. Selected examples of these grants include the following:

- $5 million to the Margaret Chase Smith Library Center, (P.L. 100-202);
- $1 million to the Samuel Rayburn Library, University of Texas (P.L. 93-441);
- $6.5 million to the Mortensen Library of the University of Hartford (P.L. 98-480); and
- $7.5 million for a research library at Boston College (P.L. 98-63).

On Mar. 16, 1992, a modified version of H.R. 3553 was introduced as H.R. 4471. Apparently, it is the latter bill that will be considered during House floor debate. With respect to HEA title II, H.R. 4471 is essentially the same as H.R. 3553. Throughout the remainder of this report, we will refer to "H.R. 3553/H.R. 4471."
Title II, Part A, College Library Resources

Part A of HEA title II authorizes a program of general purpose grants for library services at certain institutions of postsecondary education. As amended in 1986 (P.L. 99-498), part A funds may be provided only to institutions where the expenditures for library services, and the number of library volumes, per full-time equivalent (FTE) student are below the National average for institutions of comparable size and programs. (This requirement may be waived by the Department of Education, but only for up to 5 percent of the institutions receiving grants.) Grants are to be made in proportion to the number of FTE students at eligible institutions, and are to be within the range of $2,000-10,000 per annual grant.

To be eligible for a part A grant, institutions must maintain their library expenditures per FTE student in the year preceding a grant at the level of the average of such expenditures for the second and third preceding years (although a waiver of this requirement may be issued in "very unusual circumstances"). The grants under this part may be used for the purchase of books, periodicals, computer software and data, audiovisual materials, or for the establishment and maintenance of information-sharing networks. A separate provision of the Higher Education Amendments of 1986 \(^{20}\) required the National Commission on Libraries and Information Science to conduct a study of the effectiveness of the title II, part A, aid eligibility criteria in directing assistance to institutions with the greatest need.

The appropriations authorization level for part A is $10 million for FY 1987, "such sums as may be necessary" for FY 1988-1991. \(^{21}\) No funds have been appropriated for title II, part A, programs since FY 1981.

Issues

In FY 1981 and preceding years, this program provided relatively small grants for the general support of library services, for which virtually every institution of higher education was eligible. In 1986, part A was revised to limit eligibility generally to institutions with lower than average library volumes or expenditures per FTE student. However, this limitation on eligibility has not resulted in appropriations again being provided for the part A program, and both of the current bills to reauthorize the HEA (S. 1150, H.R. 3553/H.R. 4471) would terminate the current part A program, replacing it with a revised version of the current part D program (see below). If appropriations were provided for the current version of part A, the size of these grants would again be relatively small: $2,000-10,000 per year for each eligible institution.

\(^{20}\)Title XIII, sec. 1331, of P.L. 99-498.

\(^{21}\)The authorization for this and other HEA library programs was automatically extended for FY 1992 under sec. 414 of the General Education Provisions Act (title IV of P.L. 90-247, as amended).
While the 1986 amendments to part A addressed the earlier program issue of whether participating institutions needed the Federal assistance, it may still be questioned whether such relatively small grants will have a significant effect, especially since the funds may be used to support library resources in general, rather than being limited to more specific purposes. Also, while program eligibility is more limited than previously, approximately one-half of all institutions of higher education could still qualify for grants, so the program would not be sharply targeted in terms of the number of recipients either.

**Title II, Part B, Library Training, Research, and Development**

Part B of title II of the HEA authorizes two types of assistance to postsecondary level libraries: library career training; and support for research and demonstration projects related to libraries. Library career training grants are authorized to support student fellowships or traineeships, the development or expansion of librarian education programs using new forms of information technology, and either short-term or regular session institutes for continuing education of experienced librarians. In recent years, these grants have been used to support graduate fellowships in areas where there are shortages of trained persons, including doctoral level education for persons planning a career in library education. Title II, part B funds also support institutes for continuing education of professional librarians. The statute requires that at least 50 percent of library training funds be used for individual fellowships or traineeships.

Research and demonstration grants may be made to a wide variety of organizations for projects related to libraries, librarianship, and information technology. The research may be focused on school or public, as well as college, libraries. In recent years, awards have been made under this program for studies of the impact of school libraries on student achievement, special concerns of rural public libraries, library service improvement strategies, and the economics of public libraries.

The appropriations authorization for part B is $5 million for FY 1987, "such sums as may be necessary" for FY 1988-1991. The authorizing statute provides that two-thirds of appropriations for this part shall be used for library career training, the remaining one-third for research and demonstrations. The FY 1992 appropriation for this part is $5,325,000; with $5 million earmarked for library training and $325,000 for research and demonstrations. The $5 million appropriation for library training is a large increase over the level for recent years, when funding was in the $400-700,000 range for each year.

Both H.R. 3553/H.R. 4471 and S. 1150 would extend part B with no significant change other than to add a requirement that ED consult professional organizations in the library and information science field when establishing priorities for making grants.
Issues

When the part B program was initiated, there was generally perceived to be a shortage of qualified professional librarians, relative to the demand. During much of the late 1970s and the 1980s, it was widely believed that this shortage had been eliminated, at least in the aggregate. The most recent estimates of the supply and demand for professional librarians provide mixed signals regarding the supply of librarians, compared to the projected demand. In its discussion of a large increase for FY 1992 in the title II, part B, appropriations for librarian training, the House Appropriations Committee stated, "... because of information indicating a significant shortage of librarians in the late 1990's as a result of retirements, the Committee has recommended a significant increase for this program." 

Given the rapid pace of technological developments in library and information services, there might be substantial value in supporting continuing education programs for experienced librarians. A substantial share of part B funds have been used for continuing education since FY 1987. It is not known to what extent LSCA title I grants are currently used for continuing education.

Regarding the use of part B funds for research and demonstrations, the main issues are whether such a small program might have any substantial impact, and whether this program duplicates, or is insufficiently coordinated with, other Federal activities in library research and development. As discussed elsewhere in this report, library and information science research and development activities are conducted also by the National Commission on Libraries and Information Science, the Library of Congress, and the NSF. While it might be argued that these other research and development activities do not focus on the specific concerns of college and university libraries, many HEA II-B activities are not specifically related to postsecondary libraries either.

Title II, Part C, Strengthening Research Library Resources

Part C of title II authorizes grants to research libraries, with collections deemed to be uniquely significant for scholarly research, at higher education institutions and elsewhere. Research libraries assisted under this program must

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22 The Department of Labor's (DOL) publication, *Occupational Outlook Handbook, 1990-91*, states that aggregate growth in librarian employment is expected to be less than that for most occupations. However, the DOL publication also notes that there have been reports of librarian shortages, and that new librarians will be needed to replace those who retire or take positions in other fields. Further, many librarians are being employed as information managers outside traditional library settings.

23 From $651,000 for FY 1991 to $5,000,000 for FY 1992.

have collections that are of national or international significance for scholarly research, that are unique, and that are in substantial demand by scholars not connected with the institution holding the collection. The Secretary of Education must allow institutions that would not regularly qualify for grants to submit additional information on the scholarly significance of their collections, to help establish their eligibility for assistance. The Secretary is also required to attempt to achieve a broad geographical distribution of part C grants.

In recent years, part C grants have been made to approximately 40-50 institutions per year. Most of the grantees have been institutions of higher education, but a significant proportion have been museums, historical societies, independent research libraries, and public libraries. The grants are generally used for the preservation of rare books and other materials, for development of specialized collections, or for cataloging and organizing collections.

The appropriations authorization for part C is $10 million for FY 1987, and "such sums as may be necessary" for FY 1988-1991. The FY 1992 appropriation is $5,855,000. H.R. 3553/H.R. 4471 and S. 1150 would extend the authorization for part C without significant changes.

**Issues**

The primary issues regarding the title II-C program have been the need for the program, and the fairness and geographic distribution of the competition for grants. While conceptually separate, these issues are interrelated, since some have argued that the grants are unnecessary specifically because they tend to go to a limited number of institutions that are generally able to pay for the assisted activities from their own resources or such alternative sources as foundation grants. The institutions that received multiple part C awards, totalling more than $2 million, over the FY 1978-1989 period are such well-endowed private universities as Harvard, Yale, and Stanford, plus two large public universities (University of California at Berkeley and Indiana University) and the New York Public Library.25

In response to these concerns, it might be argued that the part C statute does not specify that institutional need be considered in making grants, and that only the scholarly importance of the collections and the quality of the proposals should be taken into account in awarding these funds. The Higher Education Amendments of 1986 (P.L. 99-498) amended part C to require that ED permit institutions that do not otherwise qualify for grants to provide additional information on the scholarly significance of the collections upon which their proposals are based. It is also required that ED attempt to achieve "broad and equitable geographic distribution" of part C grants. An ED report indicates that

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between FY 1978 and FY 1989, at least one institution in all but eight States received one or more part C grants.\(^{26}\)

**Title II, Part D, College Library Technology and Cooperation Grants**

Part D of title II authorizes College Library Technology and Cooperation Grants. This program authorizes competitive grants to higher education and affiliated institutions to plan for, establish, equip, or maintain networks for sharing library resources (interlibrary loan programs, computer-based bibliographic and other information systems, etc.). Grants are awarded in the four categories of: networking grants, used mainly to acquire equipment needed to participate in information sharing networks (13 grants for a total of $851,556 in FY 1991); combination grants for joint-use library facilities or resources (7 grants for a total of $1,283,724 in FY 1991); grants services to institutions of higher education by non-profit organizations (1 grant for $323,109 in FY 1991); and research and demonstration grants (7 grants for a total of $850,226 in FY 1991). Minimum awards are to be $15,000, to be expended over a 3-year period, and the Federal grant must be matched by non-federal funds equal to at least one-third of the Federal allocation.

The authorization of appropriations for part D as initially enacted was $5 million for FY 1987, and "such sums as may be necessary" for FY 1988-1991. Further, the Omnibus Trade and Competitiveness Act of 1988 (P.L. 100-418) authorized an additional $2.5 million for FY 1988, and "such sums as may be necessary" for FY 1989-1991, for part D activities related to trade competitiveness. Part D was initially funded in FY 1988, and the FY 1992 appropriation is $6,404,000.

The current HEA reauthorization bills, H.R. 3553/H.R. 4471 and S. 1150, would each move part D to become part A of title II. Both bills would also increase the minimum grant to $25,000, place a priority on grants to link developing institutions with resource sharing networks, and establish a maximum of $35,000 (H.R. 3553/H.R. 4471) or $50,000 (S. 1150) on most grants to individual higher education institutions.

**Issues**

During the short life of this program, grants have been focused on developing networks for sharing of library resources over a wider range of institutions of higher education. Much of this support has been used to purchase necessary computer and related equipment. Research and demonstration awards have been made primarily in the areas of computer assisted instruction and design of improved systems for library resource sharing.

Since this program has been funded for a relatively short period of time, and no evaluations have been conducted, no major issues have yet arisen with respect to the part D program. Given the currently rapid pace of development

\(^{26}\)Ibid., p. 57.
in technology for resource sharing among libraries and related institutions, it might be questioned whether such a relatively small program, that made a total of 35 grants for FY 1990, can have a substantial impact on thousands of institutions in the higher education community.

**AID TO ELEMENTARY AND SECONDARY SCHOOL LIBRARIES UNDER CHAPTER 2, TITLE I, OF THE ELEMENTARY AND SECONDARY EDUCATION ACT**

Currently, no Federal program provides assistance specifically to elementary and secondary school libraries. However, elementary and secondary school library resources are among the activities that may be supported by grants under the block grant program of chapter 2, title I, ESEA. Chapter 2 was preceded by a program of grants specifically to elementary and secondary school libraries, under ESEA title II, as originally enacted in 1965. Title II existed as a separate program until adoption of the Education Amendments of 1974 (P.L. 93-380), under which aid to libraries was combined with other programs for instructional equipment and materials in title IV, part B, of the ESEA, Instructional Materials and School Library Resources. In the 1981 Education Consolidation and Improvement Act (ECIA), title IV and much of the rest of the ESEA were consolidated into ECIA chapter 2. Finally, chapter 2 was reauthorized in 1988 as ESEA Title I, chapter 2--Federal, State, and Local Partnership for Educational Improvement.

Under chapter 2, block grant funds are allocated to the States in proportion to total school-age population (ages 5-17 years), with a State minimum grant of 0.5 percent of total grants. States must distribute at least 80 percent of their grants to local educational agencies (LEAs), using State developed allocation formulas that take into account LEAs' overall enrollment levels as well as the extent to which LEAs enroll pupils whose educational costs are higher than average (e.g., disabled or educationally disadvantaged pupils). LEAs may use their chapter 2 grants for a variety of "targeted assistance" programs, including "acquisition and use of instructional and educational materials, including library books" and librarian training (ESEA sec. 1531(b)).

Given the nature of chapter 2, LEAs may use all, or none, of their funds for library resources, at their discretion. One study indicates that at least some chapter 2 funds were used in 1984-85 for "libraries and media centers" in a substantial majority--68 percent--of a nationally representative sample of LEAs. It was further estimated that approximately 29 percent of all chapter 2 funds received by LEAs were used for "libraries and media centers."^{27}

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In addition to library books and related materials, the category of "libraries and media centers" was defined to include all instructional materials and equipment other than computers--i.e., science laboratory equipment, films, videocassette recorders and tapes, etc., were included in this category. This use of funds ranked second only to "computer applications" in terms of the percentage of LEAs using chapter 2 grants for this purpose, and in terms of the percentage of chapter 2 local funds so used. Thus, although there is no requirement that any LEA use chapter 2 funds for library services, and the category used in this study includes more than library resources as typically defined, it would appear likely that a substantial share of chapter 2 grants is used for library resources.

Chapter 2 also authorizes a number of national grant programs, including an Inexpensive Book Distribution Program for Reading Motivation (sec. 1563), under which a contract is entered into by ED and Reading is Fundamental (RIF). RIF provides books to elementary and secondary pupils that they may keep.

The authorization of appropriations for chapter 2, including the State grant program and national programs, is $672 million for FY 1992. The FY 1992 appropriation for State block grants under chapter 2 is $450,000,000.

Issues

From the enactment of the original Elementary and Secondary Education Act (ESEA) in 1965 until adoption of the Education Consolidation and Improvement Act (ECIA) in 1981, there were Federal programs of assistance specifically for school libraries (ESEA title II from 1965 until 1974), or "school libraries and learning resources" (ESEA title IV-B from 1974 until 1981). While school library resources have since 1981 been combined with a wide range of other purposes in chapter 2, with the extent to which funds are used for this purpose left to the discretion of LEAs, the study of chapter 2 implementation discussed above indicates that a substantial share of these funds may be used for library resources. The primary issue with respect to chapter 2 is whether the current extent of support for school libraries under chapter 2 is "adequate," and whether this approach is preferable to a categorical form of aid specifically for libraries.

As noted above, a study of chapter 2 found that approximately 29 percent of local funds are being used for "library and media centers," a category that is somewhat broader than "library resources," since it was defined to include such items as science laboratory equipment. Nevertheless, if one applies the full 29 percent to the minimum LEA share of the FY 1992 appropriation for the State block grant portion of chapter 2 (80 percent of $450,000,000), the result would be approximately $104 million in aid used for "library and media centers." While there is no generally accepted criterion for measuring the "adequacy" of such a level of aid, it might be compared to the funding level for "libraries and learning resources" under ESEA title IV-B in the last year of that program's existence (FY 1981). The FY 1981 appropriation for ESEA IV-B was $161 million; the
estimated equivalent value of that appropriation in FY 1992 terms (i.e., adjusting for inflation in price levels between FY 1981 and FY 1992) is approximately $293 million.\(^\text{28}\) Thus, it might be estimated that the level of Federal support for school library resources and related purposes has declined by approximately two-thirds (65 percent) since adoption of chapter 2.

The broader issue with respect to chapter 2 and school libraries or any specific educational activity is whether it is preferable to provide broad forms of aid to LEAs, so that they can apply their own judgment and priorities in choosing where the funds might most effectively be spent, as opposed to the application of national judgment and priorities that is implicit in more specific aid programs. However, any further discussion of this general issue is beyond the scope of this report; for additional discussion of this and related issues, see U.S. Library of Congress. Congressional Research Service. *Education Block Grant Reauthorization: Selected Options.* CRS Report for Congress No. 87-494 EPW, by Paul M. Irwin. Washington, 1987.

**GRANTS TO LIBRARIES BY THE NATIONAL ENDOWMENT FOR THE HUMANITIES**

Although it does not administer programs specifically for aid to libraries, the NEH makes a significant number of grants to public, college or independent libraries for certain specialized purposes, such as the preservation of rare books, films, and other materials, or the development of collections. In FY 1992, the NEH will make an estimated $2.75 million in grants for humanities projects in libraries and archives (e.g., exhibitions of books and documents, lectures, reading and discussion programs, etc.), and $22.1 million in preservation and access grants, many of which were made to libraries.\(^\text{29}\) Libraries have also received funds under the general NEH programs of the Office of Challenge Grants, Division of Public Programs, Division of Education Programs, and the Division of State Programs. Finally, some of the grants of the Division of Research Programs, especially those for the development and cataloging of collections, have at least partially assisted numerous postsecondary, independent, or major public libraries.

**Issues**

Perhaps the only issue that has arisen with respect to NEH grants to libraries is the question of whether the activities supported by the NEH are sufficiently coordinated with the frequently similar activities conducted with grants under the LSCA, part C of title II of the HEA, or by the National

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\(^{28}\) The price index used is the deflator for State and local government purchases of services (fixed-weight version), provided by the U.S. Department of Commerce, Bureau of Economic Analysis.

Commission on Libraries and Information Science, the Library of Congress, or other Federal programs and agencies. Coordination of the activities of these agencies and programs might be especially useful in such areas as research and development in preservation technologies, or in methods to increase access to collections of rare books or other materials.

THE NATIONAL COMMISSION ON LIBRARIES AND INFORMATION SCIENCE

The National Commission on Libraries and Information Science (NCLIS) was established in 1970 (P.L. 91-345), as an independent agency within the executive branch of the Federal Government. As stated in the authorizing legislation, the purposes of the National Commission on Libraries and Information Science are to:

- advise the President, the Congress, plus other Federal, State, local, and private agencies on policies related to libraries;
- prepare studies of the library and information needs of the Nation, including the adequacy of current services and programs;
- develop plans for meeting national library and information needs; and
- promote library-related research and development activities.

In addition, a major activity of the National Commission on Libraries and Information Science has been the planning for and management of the 1979 and 1991 White House Conferences on Library and Information Services, as well as working toward implementation of recommendations by the Conferences. The Commission consists of 15 members, including the Librarian of Congress (or his/her representative). At least five members must be professional librarians or information specialists.

Specific activities of the Commission in recent years have included the preparation of reports (either directly or via contract) and/or sponsored symposia on such topics as the role of libraries in supporting elementary and secondary education, library and information services to Native Americans, information literacy as a focus and goal of education, an analysis of fees charged by libraries, ways in which libraries can help meet the needs of such special populations as the elderly or disadvantaged persons, relationships between information services and economic productivity, community information and referral services in libraries, public/private sector interaction in providing information services, and communication of information via computers.

The National Commission on Libraries and Information Science has worked cooperatively with other Federal agencies in a number of areas. Since 1988, the Commission has worked with the National Center for Education Statistics to establish the Federal/State cooperative public library data system that was discussed earlier in this report. Following the United States’ withdrawal from
the United Nations Educational, Scientific, and Cultural Organization (UNESCO), the U.S. State Department has continued to fund selected international activities related to library and information services through NCLIS. It has worked with the Administration on Aging and ACTION in support of library services to, as well as literacy volunteer services by, older Americans.

The Commission has also conducted seminars and conferences on various library issues. For example, in April 1989 the Commission, along with the American Association of School Librarians, plans to conduct a symposium on "Information Literacy and Education for the 21st Century: Toward an Agenda for Action." It has also developed a statement of Principles of Public Information, regarding information access policy for Federal, State, and local governments.

The National Commission on Libraries and Information Science is authorized for an indefinite period, at an authorization level of $911,000 for FY 1992 and "such sums as may be necessary" for each fiscal year thereafter. The FY 1992 appropriation is $831,000, while the Administration has requested $1 million for FY 1993. Additional resources are often provided by the loaning of staff from or the conduct of cooperative projects with other Federal agencies, the performance of research under contract to other agencies or the private sector, and private foundation grants. For example, according to budget documents in FY 1991 the Commission received a total of $771,000 in reimbursements for work performed for other agencies or organizations.

ISSUES

A possible issue with respect to the National Commission on Libraries and Information Science and its activities is the ambiguity of its role, or the conflict between its broad role and its small staff and budget. Any assumed role for the Commission, beyond the neutral provision of technical assistance, could be somewhat controversial or conflict with other frequently assumed roles. For example, some have assumed that the Commission should be the primary "spokesperson" for libraries within the Administration and in making presentations to the Congress. Yet this role would conflict with the Commission's supposed independence, as well as the reality of the Commission's position as part of the Administration, and the fact that Commission members are Presidential appointees.

Others have supposed that the Commission should be the primary developer of Federal library policies. Yet other, and much larger, agencies implicitly compete with the Commission in providing such leadership—ED and the Library of Congress, or even the Federal Library and Information Center Committee (see below), for example. The limits on the Commission's ability to influence Administration policy were illustrated by the Commission's apparent disagreement with Reagan Administration proposals to terminate funding for
LSCA programs for fiscal years 1983-88,\textsuperscript{30} and lack of Administration consultation of the Commission before submitting proposed legislation to revise library assistance programs in conjunction with the FY 1989 budget.\textsuperscript{31}

Perhaps as a result of this ambiguity regarding its role, and its relatively small budget and staff, the most clearly defined functions of the Commission appear to have been the provision of technical advice and research, training or symposia on selected library topics, initiation of programs or activities in cooperation with other agencies and organizations, plus coordination of the 1979 and 1991 White House Conferences on Library and Information Services. A 1988 report on NCLIS by the American Library Association concluded that, "NCLIS has also described its role as being a catalyst, providing a forum, becoming and developing partners, and giving policy advice. Given its minuscule size and budget, its view of its role is realistic. . . . Its contribution is necessarily less than the constituents of its broad subject matter would prefer."\textsuperscript{32}

**WHITE HOUSE CONFERENCES ON LIBRARY AND INFORMATION SERVICES**

Two White House Conferences on Library and Information Services have been held—in 1979 and 1991. Each of them brought together library advocates from a variety of professions and locations, and produced numerous recommendations for changes in national policies affecting libraries and related institutions.

The 1979 White House Conference was authorized under P.L. 93-568. This legislation provided that the Conference bring together representatives of Federal, State, and local governments; educational institutions, agencies, and

\textsuperscript{30}In testimony before the Senate Subcommittee on Labor, Health and Human Services, and Education, and Related Agencies Appropriations on Mar. 4, 1987, the Commission’s vice-chair stated that the Commission had not been asked for advice on the FY 1988 LSCA budget request, and would not have favored the proposed funding termination if it had been asked about the Administration’s proposal. (Education Daily, Mar. 5, 1987, p. 5) See also statements by Commission chairman Jerald C. Newman in U.S. Congress. House. Committee on Appropriations, Subcommittee on Labor, Health and Human Services, and Education, and Related Agencies. Fiscal Year 1989 Hearings. 101st Cong., 1st Sess., Washington, 1989.


associations; institutions and organizations that provide library and information services; plus persons knowledgeable about library and information science technologies. Among the reasons stated in the authorizing statute for holding the Conference were the "indispensability" of access to information and ideas for the "continuance of enlightened self-government," the "essentiality" of "growth and augmentation of the Nation's libraries and information centers," and the "requirement" for national coordination to utilize the potential of new technologies for enhancing library services. The Conference was coordinated by the National Commission on Libraries and Information Science, with the assistance of a 28-member advisory committee. A total of $3.5 million was authorized to be appropriated to plan for and conduct the Conference. The actual amount appropriated for the Conference was also $3.5 million.

The 1979 White House Conference on Library and Information Services was preceded by conferences in each of the States and Outlying Areas. The Conference made a series of recommendations in a wide range of areas related to library and information services. The topics addressed by the Conference's resolutions included access to information, literacy, censorship, Federal support for libraries, dissemination of Federal publications, the status of library programs within ED, postal rates, technological development and implementation in information networks, international cooperation and information-sharing, plus services to special populations (e.g., the disabled, Indians, and other minorities). The Conference also proposed the adoption of a Comprehensive National Library and Information Services Program by all levels of government, and enactment by the Federal Government of a National Library and Information Services Act. The proposed Federal legislation would have substantially expanded the types and funding level of Federal aid to libraries; similar legislation was introduced in the 96th and 97th Congresses, but no action was taken.  

33 See the National Library Act, S. 1124, 96th Congress, introduced by Senators Javits and Kennedy, and the National Library and Information Services Act, S. 1431, 97th Congress, introduced by Senators Stafford, Kennedy, Pell, and Randolph.

After the 1979 Conference, a White House Conference on Library and Information Services Taskforce (WHCLIST) was formed as a continuing, independent organization to track and promote implementation of the Conference's recommendations. Although the major Federal legislation proposed by the Conference was not adopted, the WHCLIST reports that many of the individual resolutions of the Conference were implemented by Federal, State, or local governments. 34 The WHCLIST also proposed that another White House Conference on Library and Information Services be held by 1989; legislation to this end was adopted by the 100th Congress (P.L. 100-382).

34 See, for example, White House Conference on Library and Information Services Taskforce Five-Year Review of Progress Toward Implementation of the Resolutions Adopted at the 1979 White House Conference on Library and Information Services, Jan. 1985.
Statutory provisions for a second conference under P.L. 100-382, including the roles of the National Commission on Libraries and Information Science and an advisory committee, were similar to those for the 1979 Conference. A preliminary design group for the second White House Conference, operating under the auspices of the National Commission on Libraries and Information Science, proposed that the conference focus on three themes: the role of library and information services in promoting economic productivity, promotion of literacy, and "democratic" access to information.\textsuperscript{36} The authorized appropriations level for Conference activities was $6 million; appropriations were provided of $1,750,000 for FY 1989, $3,225,000 for FY 1990, and $488,000 for FY 1991, for a total of $5,463,000.

The 1991 White House Conference on Library and Information Services produced 97 recommendations covering a wide variety of topics and concerns. The recommendations have been organized by the Conference under the major categories of access, governance, marketing, networking, national information policy, preservation, services, technology, training of end-users, and personnel. It is beyond the scope of this report to provide a complete list of these recommendations and petitions; instead, we list below selected examples of recommendations in each of the general categories:\textsuperscript{36}

- **Access**—increased Federal aid should be provided to libraries of all types for collections development, including aid specifically for school library media centers; collections should be enhanced to meet the needs of an increasingly linguistically and culturally diverse population; barriers to access by the disabled to library services should be eliminated; the privacy of library patrons should be protected and efforts to censor library collections should be resisted; government information should be disseminated as widely as possible; and public library services should be provided without the charging of fees.

- **Governance**—establish library and information services committees in the Senate and House of Representatives; create a National Institute for Library and Information Services; increase funding for


\textsuperscript{36}For a complete listing of the 1991 Conference recommendations, see Discovery, the Newspaper of the 1991 White House Conference on Library and Information Services, Aug. 1991, p. 5-14.
Federal libraries and library assistance programs; give libraries a key role in carrying out the Administration's proposed AMERICA 2000 education improvement strategy; and make libraries eligible for most Federal education assistance programs, including "impact aid" for federally affected localities.

- **Marketing**—model programs to promote libraries should be developed, evaluated, and disseminated with Federal assistance.

- **Networking**—networks of all types—electronic, human, organizational, etc.—should be established and enhanced to share information resources as widely as possible; regional, State, and national information sharing networks should be accessible at all public, school, and other libraries; law library networks in particular should be expanded and enhanced, under the coordination of the Law Library of the Library of Congress; and standards for information sharing networks should be established and disseminated with Federal Government support and leadership, such as the standard development work of the National Institute of Standards and Technology.

- **National Information Policy**—the charges for postage and telecommunications of library materials should be reduced; copyright laws should be amended to ease access to publications; the U.S. Department of Education should be renamed as the U.S. Department of Education, Libraries and Information Services; national information policy should allow maximum public access, through libraries, to information about, or generated by, government, while protecting individual privacy rights; a national information transmission network using fiber optic cables or similar technology should be available to all libraries, schools, and homes; the Federal depository library program should be expanded; there should be additional White House Conferences on Library and Information Services at least once each decade; and a Library and Information Service, embodying the recommendations of the Conference, should be adopted.

- **Preservation**—a national preservation policy should be adopted, including Federal support for State preservation programs.

- **Services**—ED should develop methods to assess the impact of libraries on their communities, and the needs of communities for library services; Federal categorical aid for school libraries should be established; the Federal Government should fund demonstration programs of model library services to children and young adults; partnerships between public libraries and schools should be supported; literacy programs in libraries should be expanded, especially in urban and rural disadvantaged communities; LSCA titles VI and VIII should become larger, State formula grant programs; a National Coalition for Information Literacy should be established, to develop a plan for widespread development of information literacy skills; and libraries
should become the primary information sources for the Nation's increasingly diverse population, especially the disabled and other disadvantaged persons.

- **Technology**—legislation to authorize and fund a National Research and Education Network (NREN), an information "superhighway" for resource sharing, should be enacted; the NCLIS should convene a forum to develop a research and development agenda for library and information technologies.

- **Training of End-Users**—a Presidential award program should be established for quality in library management; educational institutions should train their students in the use of libraries and other information services; and libraries should be involved in more lifelong learning programs.

- **Personnel**—a National Library Corps should be established by the Federal Government to support library education programs in return for service in areas of critical need; and support for library education programs should focus on increasing the number of minority librarians, and on providing services to areas that are currently underserved.

Legislation embodying some of these recommendations may be introduced in the Congress.

**ISSUES**

The primary issue with respect to past or future White House Conferences on Library and Information Services is whether they have any significant impact, at least at the Federal level. As noted earlier, the 1979 Conference developed a proposal for comprehensive expansion of Federal support of libraries; but no congressional action was taken on such legislation. Further, after the first Conference, the Federal program of aid for elementary and secondary school libraries was consolidated into a block grant (see above), and the Administration requested that no funds be appropriated for any of the Federal programs of aid to public or college libraries for each of fiscal years.

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*87* The development of NREN has been supported by the NSF since the early 1980s, and legislation specifically authorizing Federal support for NREN was passed in the first session of the 102d Congress (P.L. 102-194, the High Performance Computing Act of 1991). Currently, NREN connects primarily research universities and other scientific research institutions, not specifically libraries of any kind. The Conference recommendation appears to envision a much larger NREN with much broader participation, especially by university, public, and school libraries. For further information on NREN, see U.S. Library of Congress. Congressional Research Service *Building the National Research and Education Network*. Issue Brief No. IB90126, by Stephen Gould, Feb. 20, 1992. (archived)
1981-1988. Other Federal policies adopted since 1979—in the areas of access to Federal information and publications, the professional status of Federal librarians, telecommunications and postal rates, or United States participation in UNESCO were contrary to resolutions adopted by the 1979 White House Conference on Library and Information Services.

Advocates of the White House Conference process have argued that the 1979 Conference had a significant impact, albeit not as substantial or comprehensive an effect as the conferees might have desired. Federal funding for LSCA and HEA programs has been continued, and at generally increased appropriations levels, except for title II, part A of the HEA (see above). Further, many of the individual recommendations of the 1979 White House Conference were at least partially implemented by various States, by the activities of private organizations such as the American Library Association, or by the Federal Government in the 1984 amendments to the LSCA (P.L. 98-480), the 1986 amendments to the HEA (P.L. 99-498), or other legislation. Advocates of such conferences argue that they give the library profession and its concerns national visibility and attention, and that the recommendations of the second conference might be more widely adopted in a political and budgetary climate that is at least somewhat different from that of the early 1980s.

ASSISTANCE TO LIBRARIES PROVIDED BY THE LIBRARY OF CONGRESS AND OTHER FEDERAL LIBRARIES AND AGENCIES

LIBRARY OF CONGRESS

Although the Library of Congress was established to serve as a resource for the Congress, the Library also—under authority of congressional statutes and appropriations—performs a variety of functions that directly or indirectly assist public and school/college libraries throughout the Nation. This section of the report provides a brief listing of some of these services.38

Among the direct services provided to libraries throughout the Nation by the Library of Congress are:

- preparation and distribution of cataloging information on books, film, music, maps/atlases, and other media, in both machine-readable form

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38This listing is not intended to be exhaustive; those interested in more complete and detailed information on Library of Congress services to other libraries should contact the Public Affairs Office, Room LM-105, Library of Congress, Washington, D.C. 20540.
(including electronic bibliographic information networks and compact laser disks) and in the form of printed catalog cards for use by libraries;

- preparation and dissemination of braille books, audio tapes and disks plus players for these, and other materials for the blind and physically disabled;

- preparation and distribution of bibliographies on selected topics;

- preparation and distribution of technical publications to assist libraries in their processing activities;

- development of national and international standards for the preparation and distribution of bibliographic information;

- lending of books to other libraries through interlibrary loan networks;

- distribution of surplus books to other libraries through the exchange and gift service; and

- distribution, primarily via commercial information networks, of cataloging information on all materials registered by the Library's Copyright Office.

In addition, the Library of Congress indirectly assists public and school/college libraries by providing such services as:

- research and development related to book preservation and deacidification;\(^{39}\)

- research and development of new forms of information storage, retrieval, and communications, such as a pilot program on possible uses of compact laser disks for information management and preservation;

- the documentation and dissemination activities of specialized Library organizations such as the American Folklife Center, the Music Division, the Geography and Map Division, the Law Library, the Children's Literature Center, the Prints and Photographs Division, the Rare Book and Special Collections Division, the Manuscript Division,

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\(^{39}\)This is the removal of certain acidic substances from the paper used in most books and other publications from the late 19th century to the present. These acids, that are employed in production of the paper, are a primary cause of deterioration of older books. While acid-free paper is available, it is more expensive, and is therefore infrequently used. For further information on this topic, see U.S. Congress. Office of Technology Assessment. *Book Preservation Technologies*. May 1988. Washington, GPO, 1988.
the Motion Picture, Broadcasting, and Recorded Sound Division, the National Translations Center, or the collections specializing in specific languages and regions of the world;

- the protection of rights to literary and artistic works provided by the Copyright Office; and

- the preparation and distribution of analyses of the current and future status and role of literacy and printed literature by the Center for the Book.

Finally, the Library of Congress acts as a general reference library itself, providing reference and related services to members of the public in its Washington, D.C. area facilities. The FY 1992 appropriation for the Library of Congress, excluding the Congressional Research Service and payments to copyright holders, was $354.9 million.\(^{40}\)

OTHER FEDERAL LIBRARIES

Although other Federal libraries generally serve the information needs of the Federal agencies in which they are located, several of them also provide significant services, primarily through interlibrary loan or computerized information transfer systems, to patrons of libraries at large. The Federal Library and Information Center Committee (FLICC), located in the Library of Congress, tracks and attempts to coordinate the activities of all Federal libraries and related organizations. Examples of the largest and most significant of such Federal libraries include the National Library of Medicine (NLM) of the National Institutes of Health, U.S. Department of Health and Human Services, and the National Agricultural Library (NAL) of the U.S. Department of Agriculture.

The NLM provides numerous services to other libraries and directly to users via interlibrary loans but especially through computerized databases. The primary NLM databases are MEDIARS, MEDLINE, CHEMLINE, DOCLINE, and TOXNET. These databases are made available primarily through commercial firms offering access via telephone lines to microcomputer users, but also in compact laser disk form. The National Agricultural Library answers numerous reference requests, disseminates publications on agricultural subjects, and provides the AGRICOLA computerized database. The FY 1992

\(^{40}\)This amount includes spending authority from offsetting collections (sale of services).
appropriation for the National Library of Medicine was $114.9 million, while that for the National Agricultural Library was $17.8 million.

ADDITIONAL FEDERAL SUPPORT

In addition to the Federal programs and libraries described above, at least two Federal agencies provide extensive services primarily to other Federal agencies and to individuals, but also to libraries, throughout the Nation. These are the National Archives and Records Administration (NARA) and the National Technical Information Service (NTIS). The NARA primarily stores and manages documentary records for the entire Federal Government. However, the NARA assists many individuals and libraries to locate and retrieve information from those documents that is of personal or national historical interest. The NARA also operates the series of Presidential libraries, which serve as reference sources on the period of the relevant Presidential Administration; while its National Historical Publications and Records Commission provides technical assistance to archival programs in State and local governments and libraries nationwide. The NTIS, an agency of the Department of Commerce, is intended to be a central source for the collection and sale of domestic and foreign reports and publications on research in the areas of science, engineering, and related fields. The NTIS generally charges a fee for this service; fees are also charged by commercial firms that provide access to the NTIS data base for on line searching.

Further, through the Federal Depository Library system, copies of most Federal publications (e.g., the Congressional Record, Federal Register, public laws, congressional committee reports, etc.) are distributed free of charge to approximately 1,400 public and college libraries throughout the Nation. The Depository Library system was initiated in 1859, and includes at least two libraries in each congressional district, the libraries of all Land-Grant colleges, all State libraries, and law school libraries. Two depository libraries are designated in each congressional district by the Member of Congress representing the district, and two are designated in each State by each Senator.

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41 This figure includes spending authority from offsetting collections (sale of services).

42 This figure includes a permanent annual appropriation of $100,000; it does not include $3.2 million in spending authority from reimbursable activities (sale of services).

43 Another example of a Federal agency disseminating information to libraries and other organizations and persons is ED's ERIC (Education Resources Information Center) system. ERIC provides references to education-related publications and research via telecommunications and compact laser disks, through the intermediary of commercial firms (i.e., ERIC prepares the bibliographic material, but users have access to it only through commercial databases). The ERIC system also sells, usually to libraries and colleges, microfiche sets of copies of most of the reports referenced by the system.
This program is administered by the Government Printing Office; the estimated FY 1992 funding level for distribution of documents to depository libraries is $22.6 million.

Finally, the NSF supports research in the area of information science and technology that is of interest to libraries. The NSF's Information, Robotics, and Intelligent Systems Division provides grants for research, development, and analysis of the impact of information and communications technologies.
APPENDIX: SUMMARY OF FUNDING INFORMATION FOR LIBRARY ASSISTANCE PROGRAMS

The following table displays the FY 1992 appropriations and FY 1993 Administration budget request for the LSCA and other Federal library assistance programs.
### TABLE 1. FY 1992 Appropriation and FY 1993 Administration Budget Request For Federal Library Assistance Programs

<table>
<thead>
<tr>
<th>Program</th>
<th>FY 1992 appropriation</th>
<th>FY 1993 budget request</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>A. ED programs that specifically support library services:</strong></td>
<td></td>
<td></td>
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<tr>
<td><strong>Library Services and Construction Act</strong></td>
<td></td>
<td></td>
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<tr>
<td>Title I, library services</td>
<td>$83,898,000</td>
<td>$35,000,000</td>
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<tr>
<td>Title II, construction</td>
<td>16,718,000</td>
<td>0</td>
</tr>
<tr>
<td>Title III, interlibrary cooperation</td>
<td>19,908,000</td>
<td>0</td>
</tr>
<tr>
<td>Title V, foreign language materials</td>
<td>976,000</td>
<td>0</td>
</tr>
<tr>
<td>Title VI, library literacy programs</td>
<td>8,163,000</td>
<td>0</td>
</tr>
<tr>
<td>Title VII, evaluation</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Title VIII, library learning centers</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td><strong>Higher Education Act, Title II</strong></td>
<td></td>
<td></td>
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<tr>
<td>Part A, college library resources</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Part B, library training and demonstrations</td>
<td>5,325,000</td>
<td>0</td>
</tr>
<tr>
<td>Part C, research libraries</td>
<td>5,855,000</td>
<td>0</td>
</tr>
<tr>
<td>Part D, college library technology and cooperation grants</td>
<td>6,404,000</td>
<td>0</td>
</tr>
<tr>
<td><strong>Subtotal, ED programs that specifically assist library services</strong></td>
<td>147,247,000</td>
<td>35,000,000</td>
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</tbody>
</table>
TABLE 1. FY 1992 Appropriation and FY 1993 Administration Budget Request For Federal Library Assistance Programs

<table>
<thead>
<tr>
<th>Program</th>
<th>FY 1992 appropriation</th>
<th>FY 1993 budget request</th>
</tr>
</thead>
<tbody>
<tr>
<td>B. Other programs:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Elementary and Secondary Education Act</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Chapter 2, educational improvement partnerships(^c)</td>
<td>450,000,000</td>
<td>450,000,000</td>
</tr>
<tr>
<td>National Commission on Libraries and Information Science</td>
<td>831,000</td>
<td>1,000,000</td>
</tr>
</tbody>
</table>

\(^a\)Under the Administration's FY 1993 budget request, all of these funds would be used for library literacy activities, similar to those authorized in LSCA title VI, but the funds would be distributed to States using the LSCA title I formula.

\(^b\)For FY 1992, an additional $500,000 was appropriated for the purchase of foreign language periodicals by colleges and universities. This program is authorized under title VI, International Education Programs, of the HEA.

\(^c\)As is discussed earlier in this report, only a portion of chapter 2 funds is used for school library services. The amount in table 1 is the full appropriation for State block grants under chapter 2.