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U.S.-China Economic and Security Review Commission
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Chairman D’Amato, Vice-Chairman Robinson, Co-Chairs Dreyer and Wortzel, Members of the Commission, we welcome this opportunity to discuss the Library’s Chinese collections and their importance to the Congress and the American people. We hope the tour of the Library’s Asian Division conducted earlier this week was useful preparation for today’s discussion.

A number of important questions were posed in the Commission’s letter of invitation to the Library. I will first provide an overview of several significant changes in the Chinese collections since the Commission’s 2002 report, then review these and other improvements in greater detail, as well as address other issues concerning the Asian Division in the broader context of the Library’s mission and the role of the Asian Division in that mission.

Significant improvements made in recent years include:

- Creation of six acquisitions teams of Chinese scholars and librarians to acquire materials from all major regions. As a result of their work, begun in fall of 2001, by April 2004 nearly 5,000 titles had been added to the Chinese collections, including materials on economics, social development, Chinese Communist Party history, foreign relations, military affairs, banking, and trade and investment.
- The Asian Division’s computers have been upgraded to add on-line digital resources and databases, including the China National Knowledge Infrastructure database (CNKI), which is an extremely valuable resource for researchers. This includes access to CNKI Chinese Academic Journals and CNKI Chinese Core Newspapers as well as The People’s Daily and China Data Online.
- The Asian Division’s stacks have been thoroughly reorganized and made more accessible, and this process was significantly enhanced by the acquisition of off-site storage facilities in 2002.
- Conversion of the Library’s catalog to pinyin romanization, begun in October 2000 after several years of planning, was completed in April 2001.

The Library's Mission

Founded in 1800, the Library has as its mission to acquire, preserve, and make accessible the mint record of American creativity and the world's largest collection of human knowledge. The Library's collections of more than 130 million items support the work of the Congress, principally through the Congressional Research Service and the Law Library; the Executive and Judicial branches; and scholars, researchers, and the general public. Through the U.S. Copyright Office, the Library fosters and protects the American creative community.

The Library's collections contain often unique resources in more that 460 languages, nearly 40 scripts, and in a wide range of media. Every workday the Library adds more than 10,000 new items to its collections and provides numerous specialized services to its users – both on Capitol Hill and increasingly through its web site (www.loc.gov) that received more than one billion hits last year. The Library continues to execute the full range of its functions in the analog world and at the same time, with a decrease in staff resources, is a world leader in making digital information resources in many languages available globally on line, a transformation without precedent since the invention of the printing press. The Library is responding to this challenge with program-focused goals and objectives outlined in our new strategic plan, which was forwarded to the Congress in September 2003. The plan will undergo continuous review and improvement so as to ensure the Library's leadership position among libraries of the 21st century.

The Asian Division

The Library has developed collections of unparalleled depth and breadth on Asia. The Chinese collections began with the 1869 gift from the emperor of China of 933 volumes. Current holdings, comprised of almost 2.8 million books, 15,000 current serials, and 11,000 units of microforms in the languages of Asia, constitute a vital asset in support of American understanding of Asia.

Through purchase, exchange with international partners, and gifts, the Library has assembled these diverse Asian collections. For some nations of the world, including China, the Library's collections are considered the most comprehensive and accessible outside of the country of origin. This great resource is coupled with the expertise provided by a strong curatorial staff. Usage of these rich materials supports opportunities for the public policy community, scholars, and the general public, to conduct research and analysis.

In addition to the Asian language holdings in the Asian Division, important Asian collections of legal materials, maps, music, motion pictures, and photographs are housed and cared for by other divisions of the Library in collaboration with Asian Division staff. Materials about Asia but not written in Asian languages are housed in the general stacks, which are accessible primarily through the Main Reading Room and the reading room of the Science, Technology and Business Division, as well as in other area studies and special collections units.

The mission of the Asian Division aligns with the Library's mission. The Division serves the informational needs of the Congress, its members, committees, and staff, and the Congressional Research Service. The Executive and Judicial branches may send researchers directly to the Library or contract for research services through the Federal Research Division (FRD). Members of the American research community, including faculty and students of universities and colleges, as well as independent researchers and the general public, also use the Division's resources. These include materials in some 160 Asian languages covering all Asian countries including China, Mongolia, Japan, and North and South Korea, as well as the countries of South and Southeast Asia.

Recent Congressional requests for information and research assistance have spanned a broad array of subject areas and tasks including Chinese culture and history, economics, political development and dissident material. The Federal Research Division has recently used the Chinese collection for several projects for executive branch agencies, including one requiring contemporary and historical resources in science and technology. On contract with the Department of Defense, FRD is updating its volume on China for the Country Study Series handbooks that are also used by members of Congress and their staff for reference and official travel-related background.

In addition, the Chinese collections' vast resources are used extensively for in-depth research by renowned scholars and China experts from around the world who are resident scholars in the Library's John W. Kluge Center. When the Kluge Center opened to accommodate resident fellows and chair appointments in June 2002, it quickly became apparent that proximity of other scholars working in related geographic regions, related languages and subject areas provided an ideal environment for intensive scholarly exchange of ideas and the enhancement of individual research activities.

Collections Assessment

In view of China's increasing global political impact, the Library must regularly address the capacity of its collections to meet the growing information needs of researchers and policy makers. Beginning in the mid-1990s, the Library undertook a review of six subject areas within its collections, including Social Science Studies in Twentieth-Century China, to which Dr. Dreyer made a substantial contribution. Dr. Dreyer, we thank you for your support and for your continuing interest in the Library's Chinese collections.

This Case Study confirmed what many suspected: the collections were comprehensive for historical research but were falling short of the needs of researchers seeking reliable, current information, particularly in the fields of business, law, national security, human rights, and politics, both domestic and international. The study found that major external and internal factors contributing to this shortfall included the emergence of China as a major world economic and political player, the publication boom in and about China, scarce Library financial and staff resources and acquisitions and processing inadequacies. It also identified the need for more

research and analytical coverage of China by the Congressional Research Service and the Law Library. The study made a number of recommendations to address these issues including the creation of a working group within the Library to develop strategies for improving the collections and access to them.

In January 1998, after completion of all six case studies, I convened the China Working Group, composed of staff in the Asian Division and throughout the Library. Key to this effort was Ms. Helen Poe, Chief of the Division, Dr. Chi Wang, then Head of the Chinese Section, who is a participant in the next panel, the Library's Acquisitions Director, and staff from the Law Library, the Collections Policy Office, and the Federal Research Division

In late 1998 and early 1999, the Library commissioned two additional internal assessments of specific areas relating to our Chinese collections. Dr. David Shambaugh, who is also on the next panel, presented his findings in March 1999. Dr. Shambaugh examined five principal parts of the Library's contemporary China social science collection: the Chinese Communist Party; domestic politics; military affairs and national security; Chinese foreign policy and international relations; and American studies and Sino-American relations. His recommendations included establishing an "acquisitions facility" in Beijing; enlarging the staff of the Asian Division's Chinese section; reviewing our exchange partnerships in China so as to achieve "quantitative reduction, qualitative improvement, and cost-savings"; reducing reliance on book dealers, and replacing them with an in-country acquisitions presence; placing standing orders with Chinese Communist Party and military publishers; allocating at least 40% of the acquisitions budget for social science materials; and converting to pinyin romanization system.

The second assessment, undertaken by Dr. Nicholas Lardy of the Brookings Institution, evaluated the Library's holdings of Chinese language materials dealing with the Chinese economy, with a particular focus on banking and finance, and foreign trade and investment. Dr. Lardy's recommendations, presented in October 1999, included subscribing to several specific journals; addressing incompleteness in holdings of several key serials; reorganizing the stacks; increasing staff; and acquiring digital materials.

The Luce Foundation Grant

While it was clear that the Library could accomplish incremental improvements within its current resources, the substantial improvements needed required an infusion of funds. So in the fall of 1999, I wrote a proposal to the Henry Luce Foundation, requesting a \$570,000 grant – \$390,000 for piloting a new acquisitions method in China, and at the Foundation's suggestion, \$180,000 to support fellowships in support of studies using the Library's Asian materials. Here I need to thank Dr. Shambaugh whose report I was able to use productively in communicating to the Foundation the genuine need for piloting a new acquisitions strategy in keeping with the rapidly changing publication environment in China.

The Library received the grant in May 2000. The balance of 2000 through early spring of 2001 was devoted to planning the implementation: selecting the cities and regions to cover, establishing target subject areas and types of materials, identifying appropriate potential partner institutions, and establishing guidelines for determining the qualifications of those that we would hire. Implementation began in mid-spring of 2001 and continues through the present.

In June 1999, Library Services had broadened the membership of the China Working Group and created a series of China Collections Town Meetings to address recommendations from the Shambaugh report. Following receipt of the Lardy report, those concerns were added to the group's consideration. With the Luce grant, the Library finally had the resources to act forcefully. An Executive Committee, drawn from key staff who had participated in the China Working Group and the China Collections Town Meetings, was formed to manage the project.

We recognized that in creating a new acquisitions methodology, we were piloting a model that, if successful, we would ask the Congress to embrace at the conclusion of the grant. At that time, the Library had three principal strategies for acquiring foreign materials. First, we relied and still rely on book dealers who, guided by specific instructions issued annually, make selections and ship materials. This works well in Europe and other developed countries. Second, exchange relationships supplement these purchases at minimal additional cost to the Library. Third, for those parts of the world where the book trade is underdeveloped, the Library has established Overseas Offices, headed by an American supervisor and staffed locally. The new model funded by the Luce Foundation is different from all of these. It relies on teams of acquisitions associates who are hired under direct contract with the Library but who collect materials without requiring offices or equipment supplied by the Library.

The teams of acquisitions associates were to be located in five sites throughout China and to identify materials from an entire region, not just from their primary locations. Initially we anticipated selecting teams in Beijing, Harbin, Shanghai, Chengdu, and Hong Kong. Additional sites raised for consideration were, in the northeast, Shenyang or Changchun; in east central China, Nanjing; in the southwest, Chongqing; and in the southeast, Guangzhou, Nanning, Shenzhen, or Wuhan. After further discussion, we settled on Beijing, Shanghai, Shenyang, Chongqing and Guangzhou. After the first staff trip to China, we added a sixth site, Wuhan because that location, with its adjacent cities of Wuchang, Hankou and Hanyang, marks an important site for economic development, especially that involving the Yangtze River Development Project, for local history, and for international and environmental law and political science. We concluded that our current arrangements for collecting materials in Hong Kong, funded by our Congressional appropriation, are sufficient for materials from that former colony.

We determined that Library staff should travel to each of the sites in order to recommend final site selection and identify personnel, recognizing that the two decisions would be closely interrelated. Because building the collections depends on close working relationships between the Asian Division and the corresponding unit in the Acquisitions directorate, we sent three teams, each comprised of a staff member from the Asian Division and one from Acquisitions.

They traveled in sequence between early January and March of 2001 so that the first team's experience could inform the subsequent trips. Each team briefed the entire group. Dr. Wang was one of the six staff to undertake this effort. At the conclusion of the trips, the Executive Committee made final decisions on the sites and the lead person for the team, who would supervise the rest of the team members.

In making the selections, the Group recognized that, in addition to geographic breadth, another factor essential to the project's success would be the level of subject expertise that each team encompassed. For this reason teams finally selected were comprised of people actively engaged in intellectual productivity within their subject specialities. All had affiliations with universities, libraries, or think tanks. Individual sites were asked to specialize in specific subject areas that were deemed especially important in their regions: Beijing, hard-to-obtain government information; in the northeast, regional publications and grey literature that is hard-to-obtain from outside the three provinces of Heilongjiang, Jilin, and Laoning, and outside of Inner Mongolia, including material on Sino-Russian relations; Shanghai/Nanjing, economics, political science, sociology and law, also women's studies, American studies, Taiwan studies, city planning and urban development; in the southwest, the Western Development Project, science and technology, minorities and related subjects, women's studies, and city planning and urban development; in southeast China, Guangdong culture, the Shenzhen and Xiamen Economic Zones, Guangxi minorities, the Pearl River Delta Development project, and political science and administration.

The six teams of acquisitions associates, aligned with educational institutions, are located in Beijing, Chongqing, Guangzhou, Shanghai, Shenyang, and Wuhan. Working through email communication, the Library developed contracts with each team and provided additional guidance beyond what had been preliminarily communicated in the early discussions.

By late summer of 2001, the teams had begun to send lists of potential publications for Library staff to select from. During the first year of operations, nearly 3000 titles had been selected for shipping from the 63 lists that had been provided by that time. In on-going communications over time, the acquisitions associates refined their understanding of the Library's preferences and requirements such that the third year of operations produced as much useful material as the first two years combined.

Leadership

In November 2001, Ms. Helen Poe, Chief of the Asian Division, retired and I appointed Dr. Peter Young as Acting Chief. Dr. Young immediately initiated the re-ordering of the stacks. Rather than permanently fill the position of Chief immediately, Dr. Young and I consulted within the Asian Division, and with key people outside of the Library at foundations, East Asian and university libraries, universities, and even spoke with a former U.S. ambassador to Asia. These communications sharpened our vision for the Division and the kind of leadership that would be required.

When Dr. Young left several months later to take up his new position as Director of the National Agricultural Library, I recruited Dr. Karl Lo, who had just retired as East Asian Librarian at the University of California at San Diego, and was widely known among East Asian Librarians as the country's expert on Chinese digital information. Dr. Lo guided Library staff in upgrading the Division's computer systems to better manage non-roman script, introduced staff to on-line digital resources and databases available from China, and expanded the purview of the Luce grant to include identifying digital resources.

Ultimately, the disorder in the stacks could not be successfully addressed until some of the severe overcrowding could be relieved. During Dr. Lo's tenure, when off-site storage space finally became available, beginning in June 2002, staff began selecting material to be sent to remote storage. In the succeeding months, titles of less used materials from specific classes, 34,500 volumes of them, were moved off-site. In September 2002 the Library funded a special overtime project to enable Asian Division technicians to sort and shelve thousands of volumes of recently catalogued Chinese materials and created a finding aid to show alternative shelving locations. Between 2002 and 2004, more than 315,000 volumes of Asian collection materials were transferred to off-site storage to make space for newly acquired and high demand materials.

At the end of September 2002, Dr. Lo stepped down as Acting Director of the Asian Division, but continued under contract with the Library to serve as an advisor on digital information systems.

In October 2002, at Dr. Lo's urging, he and I took a two week trip to Beijing, Guangzhou, and Hong Kong so that I could understand the scope of the digital transformation occurring in China. In addition to consulting with the U.S. Embassy in Beijing and the Consulate in Hong Kong, who provided us with a helpful list of military journals, we visited several database vendors and looked at the level of digital information access at premier and second level academic institutions.

With Dr. Lo's departure at the end of September 2002, Robert Worden, a well-known China scholar and Chief of the Federal Research Division, stepped in to serve as interim chief and to keep the momentum going, which he did, until the competitive permanent appointment of Dr. Hwa-Wei Lee in February of 2003. With Dr. Lee's arrival, progress accelerated.

Dr. Lee is one of the country's most distinguished librarians for Asian materials, known throughout the world for his achievements at Ohio University, and as a visionary leader, cultural communicator, mentor and role model for younger generations of librarians. He is known throughout China and Taiwan as an extremely effective and generous colleague.

When Dr. Lee retired as the Dean of University Libraries at Ohio University, he left behind a major research library that had gained its place among the members of the prestigious Association of Research Libraries, ranking among the top 70 academic research libraries in North America. In his twenty-one year tenure, the library more than doubled its collections to over two

million titles including unique and internationally-known research resources. His fund-raising skills are exemplary. He expanded the University's library endowment from less than \$20,000 in 1978 to \$8 million in 1999.

Dr. Lee is recognized internationally for his contributions to bridging cultures between the United States and many other countries. He has been appointed to honorary and consulting professorships at many prestigious universities in China and other areas in Asia, is the recipient of numerous awards and honors, and has published extensively. In 1999, Ohio University named a new building the Hwa-Wei Lee Library Annex and the first floor in the Main Library as the Hwa-Wei Lee Center for International Collections.

The Asian Division could not have found a more distinguished and effective leader. Among Dr. Lee's new initiatives were the reorganization of the Division for greater operational efficiency, the strengthening of collection development and management, improving reader and reference services, extending library hours from five to six days per week as a pilot project, rearranging the materials in the stacks in an orderly manner, speeding up the binding of more serials from loose issues, establishing the Asian Division Friends Society for outreach programs and fundraising, expanding digital resources, undertaking major digital conversion projects, and encouraging and fostering a spirit of cooperation and teamwork among all staff members.

The Friends Society has brought in new sources of financial support for research fellowships and scholarly programs. The Library has recently received a gift of \$300,000 to establish an Asian Division research fellowship program which will facilitate more extensive use of the Asian collection. The outreach program of the Division has also attracted more gifts of private collections. One of the latest gifts is in Asian American studies. In cooperation with the National Central Library in Taiwan, a multi-year project to digitize selected Chinese rare books is now underway to make the Chinese rare books more easily accessible to researchers and scholars worldwide, while allowing better preservation of the original treasures.

The newly reorganized Division is divided into two major sections and five area teams. The two sections are Collection Services and Scholarly Services. The five area teams are: China and Mongolia, Japan, Korea (both South and North Korea), South Asia, and Southeast Asia. Under the new leadership of Dr. Mi Chu Wiens, the Chinese and Mongolian Area Team has made noticeable improvement in the acquisition of contemporary Chinese publications, including books, journals, newspapers, microform materials, and digital resources. The most important of the major Chinese digital resources are the *CNKI Chinese Academic Journals* (close to 7,000 academic titles in full texts), the *CNKI Chinese Core Newspapers* (453 national, regional, and local newspapers in full texts), the *China Data Online* (comprehensive statistics and economic information of China), the *People's Daily* (1946 to 2004, full-text searchable), and the *SuperStar e-Books* (test file of 25,000 current titles).

A selection of the latest acquisitions on the subjects of the Chinese Communist Party, Chinese economy and international trade, Chinese foreign policy and international affairs,

Chinese military and strategy, domestic Chinese politics, science and technology, and Sino-American relations and American studies were displayed in The Asian Reading Room for your inspection on September 14th. An online demonstration of the five full-text Chinese databases was also provided.

In its budget submission for FY 2005, the Library requested \$479,000 to continue the Luce acquisitions model that had proven so successful and to increase the staff by seven FTEs. In FY 2006, we resubmitted the same request at an increased funding level of \$493,000, reflecting operational cost increases. Unfortunately, however, the Congress was not able to fund all of this request.

By October 2004, the Luce funds were nearly all expended. Dr. Lee visited each of the 6 teams of acquisitions associates and succeeded in persuading them to continue their work for greatly reduced remuneration with the promise that we would again seek Congressional support to restore the program to a more suitable funding level. We are now trying to determine whether something of this very successful program can continue to operate at greatly reduced expense to the Library so that we can continue to support the nation's need for high quality contemporary materials from China.

In the Appendix I have provided summary information taken from the 2004 report to the Luce Foundation. Rather than write a complete report to the Foundation in 2005, we requested instead to write the final report after we have received the last of the material funded under the grant. Thus the figures you see in the Appendix do not include materials acquired in the last 16 months. We expect that when we tally receipts for this period, they will certainly exceed the numbers for the twelve months ending in April 2004.

The reports to the Luce Foundation have noted the numbers of receipts and the subject matter. They do not capture perhaps the more important fact which is that the research quality of the items received is greatly improved. Even the most conscientious of dealers does not have extensive subject expertise. By relying on scholars, who are selecting materials in their fields of expertise, and librarians, who are actively acquiring materials for their own research institutions, we have increased the quality of receipts without a commensurate increase in monies expended. Further, in some cases, the teams also began recommending highly useful on-line resources and websites, with their URLs, which have been integrated into the Library's "Portals to the World Project" and thereby made available on-line to users worldwide.

It is clear that during the final year of the Luce Grant (2003 - 2004), the Library continued to see improvements in its acquisition of contemporary materials from China. The Library staff have honed the acquisitions model developed at the start of the project, and have refined the selection and acquisition of materials, providing more detailed guidelines to the Library's Acquisitions Associates in the six regions of China. The associates have become more effective with experience.

The Library continued to focus on several key subject areas that remain particularly interesting to researchers. These include: the Chinese Communist Party; economics, finance and trade issues; politics and government; military affairs and national defense; and U.S.- China relations. In addition, at the time of the outbreak of SARS, the Library instructed its Acquisition Associates to pay close attention to any SARS-related material. Thus this acquisitions model has increased our capacity to respond to unfolding events.

The Appendix contains several charts that summarize the projects' activities by region and subject.

Conclusion

Clearly, the Luce Project and related work undertaken by the Asian Division, in close collaboration with other Divisions, has had a major impact on improving the Library's collections and its ability to serve researchers. However, the landscape of Chinese publishing is ever changing, with China publishing more than 150,000 titles per year. As a result, we will have to work harder, smarter, and with continued determination to acquire the materials that the Congress and the research community will expect from us.

In the months and years ahead, to the extent that our funding allows, we will continue to collect the most important print resources, expand our access to digital resources, and address the challenges of preserving digital materials for the long term.

We thank you, again, for the opportunity to discuss the Library's collections. We are happy to answer questions.