UNESCO

MANUALS FOR LIBRARIES

# UNIVERSITY LIBRARIES FOR DEVELOPING COUNTRIES

*by*

M. A. GELFAND



UNESCO MANUALS FOR LIBRARIES—14

# *UNIVERSITY LIBRARIES FOR DEVELOPING COUNTRIES*

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Photo: Unesco/Jack Ling

Open access to books. Women medical students preparing their lessons in the library of Kabul University (Afghanistan).

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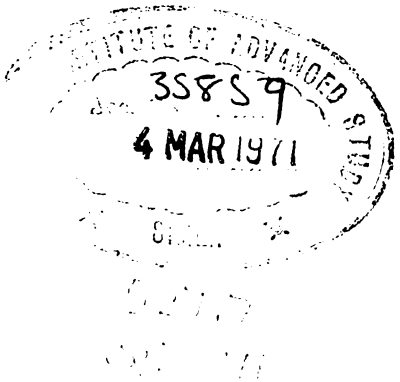



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*The urgent need for scientists, technologists, doctors and administrators in developing countries has resulted in a rapid expansion in both the number and size of universities and other institutions of higher education. Coincident with this, and in the light of this need, changes are also occurring in the qualitative nature of higher education. The ultimate goal is rapid social and economic progress, and universities are expected to produce the specialists who will guide a country towards its attainment. In the daily life of the university, the library plays a major role. Needless to say, its organization must also be geared to present and future needs and be oriented to the demands of the modern world's students, teachers and research workers.*

*In September 1962, in co-operation with the Government of Argentina, Unesco organized a Regional Seminar on the Development of University Libraries in Latin America at Mendoza (Argentina). Among the participants were not only distinguished university librarians from Latin American countries, but also university administrators and professors. The seminar surveyed the needs of university libraries in the light of the present and future development of higher education in the Latin American region. One of the points that emerged from this seminar was the need for a greater understanding of the science of librarianship and of library problems by university administrators and teachers as well as high government officials. With this understanding it was felt that university librarians could expect greater support for the future development of their establishments.*

*Mr. Morris A. Gelfand, a distinguished university librarian, was commissioned by Unesco to write a book containing sufficient technical information to provide guidance in the establishment of a library for a small university, but at the same time suitable as informative background for government and university administrators and university teachers responsible for the future development of the library. It is hoped that this volume, the fourteenth in the series Unesco Library Manuals and the product of Mr. Gelfand's considerable experience as a university librarian and as a Unesco field expert in developing countries, will contribute to a better understanding of university librarianship among all those to whom it is addressed.*

*The author is responsible for the presentation of the factual information contained in this volume; any opinions expressed are his own and not necessarily those of the Organization.*

Most of the existing manuals of librarianship are written for the use of librarians. This one differs in being addressed not only to librarians, but also to faculties, university administrators and government officials, to enhance their understanding of library problems, and in recognition of their interests in and responsibility for university library development. While it is intended particularly to assist in the organization and operation of relatively small university libraries in the 'developing countries' it may possibly be of interest in highly developed countries by suggesting avenues of further co-operation and assistance in library development.

The decision to address this work to a wider audience is based on several assumptions which can be summarized as follows: an accelerated rate of economic growth is a common objective of developing countries; to achieve it they need to concentrate on producing and improving additional human resources for use on all levels of governmental and non-governmental activity. Universities have a major role in this process. Their ability to produce useful graduates depends not only on well-trained faculties and appropriately selected students but also on providing, for all members of the university community, direct access to the recorded knowledge which society has accumulated through centuries of experience. The library is the best university agency for collecting and organizing knowledge for effective use, and for providing the services and physical facilities to encourage it. Its effectiveness will be magnified if it is part of a national or regional network of libraries and related information services.

The assumption that development of human resources is a major function of and justification for university and library development should not be interpreted to imply that universities have no other important roles which libraries should support. The true university also exists to conserve, interpret and advance knowledge. In some countries it will and should have additional functions. But the overriding need of more and better human resources is, alone, sufficiently powerful to justify strong universities and strong libraries.

Existing university libraries and information services in general are, with a few notable exceptions, highly inadequate in the devel-

oping countries. High-level policy makers, whose decisions directly affect university development, may find this book helpful in suggesting how they can improve their universities by removing the obstacles which prevent or reduce necessary development of library resources and services. In short, this book is designed to serve the national self-interest as well as the teaching and research interests of the university community.

## OBSTACLES TO UNIVERSITY LIBRARY DEVELOPMENT

Among major obstacles to university library development in some countries the following seem to stand out prominently: lack of clearly defined university and library objectives, of co-operation and understanding from university authorities and faculties, of trained library personnel and adequate clerical staff, of library resources in the university and in the country at large; severe import and currency restrictions; inadequate financial support; inadequate physical facilities; failure to appoint a competent university librarian, to give him authority commensurate with his important responsibilities, and to recognize the educational and professional qualifications of librarians; unduly complex purchasing and other administrative regulations; and the inhibiting enforcement of strict personal accountability for book losses.

Obviously, librarians alone cannot remove these and similar obstacles. The faculties and high officials of universities generally have the power to remove internal obstacles; to a degree, it is also within the competence of governments to remove these, as well as external ones.

It might be argued that lack of money is the chief obstacle; that it is all-pervasive. But lack of financial resources is not always the chief deterrent to development, nor should it be in view of the possibilities of improving existing institutions, and of the assistance that is being made available increasingly by individual countries, international agencies, private groups and individuals. The chief deterrent may well be a lack of objective information about the resources, services and facilities offered by modern university libraries, about their potential contribution to the nation as well as to the university, and about their material and human requirements among those who are responsible for providing funds and otherwise creating a favourable environment for the growth and effectiveness of their national institutions. It is a principal objective of this book to provide such information.

The book is organized along functional lines according to the view that the functions of the library determine its nature or form and, consequently, its requirements. The opening chapters will

thus deal with the role of the library, the importance of defining its mission and the roles of the governing authorities who control its operations. Succeeding chapters will then describe library organization and staffing; the selection and acquisition of library collections, and their organization for effective use. The remaining chapters will deal with a variety of services that can be offered to students and faculty to assist and encourage them in utilizing the library for education and research, building requirements, financial and administrative problems, desirable co-operative activities, and evaluation and interpretation of library services.

The main emphasis will be on applying the principles and techniques of librarianship to the particular problems of university librarianship which are encountered in countries which have poor and unorganized library resources. Mechanized forms of information retrieval and related technological developments will be mentioned only in terms of their future potential, as it is believed that present needs of university libraries can, with some exceptions, best be met with traditional library services.

It is assumed that the university librarian and his principal aides will have had adequate professional training, and that they will therefore be familiar with library terminology and practice. This does not hold, of course, for the laymen to whom this book is also directed. Consequently, no attempt will be made to present detailed procedures, such as those required in the actual work of cataloguing, but the important activities will be described and the principles and methods that are applicable to their performance will be considered.

The term 'university library' is used here to represent a library which is an integral part of an institution of higher education—a college, faculty or university—admission to which requires completion of secondary school education, in which teaching and research are conducted in one or more of the arts and sciences, and which has the power to confer degrees, diplomas or certificates. 'Main library' will be used to represent the central or principal university library; departmental, faculty, institute, college and school libraries will usually be designated as such, under the general heading of university libraries. 'University librarian' will be the term used to designate the chief or director of the main university library and its units.

A wide variety of sources have been consulted in the preparation of this book. These are too numerous to mention here individually, but full identification of sources cited is given and a list of additional references is appended. The writer is profoundly grateful to the authors and publishers of the works he has consulted and cited.

Grateful acknowledgement is made of the helpful services of Mr. Joseph Groesbeck, Deputy Director of the Dag Hammarskjøld Library, and Dr. Arthur Gagliotti, Director of the Unesco Liaison Office, United Nations, New York, and of their respective staffs.

CHAPTER I

# UNIVERSITY LIBRARIES AND NATIONAL DEVELOPMENT

The emergence of many new nations and the urgent need to improve economic, social and cultural conditions in them as well as in old but developing countries have produced a pressing need for new institutions of higher education and for the improvement of existing ones. The implications of these needs in terms of programme, staffing and financing have been discussed widely in recent years.

Universities represent major investments in the development of human resources. As such, whether they are publicly or privately controlled, they are presumed to be subjects of major concern to governments. To be effective, especially in developing countries, it is believed that universities should be organized, developed and administered in accordance with objectives which reflect the specific needs and aims of the nation, as well as the traditional purposes of the university.

## CHARACTERISTICS OF HIGHER EDUCATION

The degree of importance which a nation attaches to its universities reflects the quality of its appreciation and understanding of the role of the university. Where universities are recognized as the major producers of high-level manpower and consequently, as substantial contributors to the advancement of the economic and social objectives of the country, government support and encouragement will probably be high. In some of the developing countries, universities do not yet have a commanding role; in others, where there is keen awareness of the need to improve education at all levels, the university stands at the apex of the educational system in terms of prestige and esteem, and university development is vigorously encouraged. There has been a spectacular increase in the numbers of higher institutions and of students in certain countries of Asia and Africa and there are indications that universities and colleges in some of the old countries of Latin America and the Middle East are entering a new period of development.

Among the factors which characterize higher education in a country are the following: the degree to which university functions are related to national needs, the types of institutions (i.e., liberal arts colleges, technical and scientific institutes, professional schools, etc.) the country supports, the standards of admission and graduation, the quality of the faculties, the quality of teaching and research in the universities, and the nature of library resources, services, facilities and staffs. Other factors which have an important bearing on the character of higher education are: the extent to which qualified students can be accommodated; the degree of control, if any, which is exercised by the government and the reputation outside the country of the degrees, diplomas and certificates that are awarded by the nation's higher educational institutions.

The traditional role of universities is expanding in some developing nations. The role of higher education is stated as follows in the report of the Conference on the Development of Higher Education in Africa:

'In addition to its traditional functions and obligations to teach and to advance knowledge through research, the role of higher education in the social, cultural and economic development of Africa must be:

1. To maintain adherence and loyalty to world academic standards;
2. To ensure the unification of Africa;
3. To encourage elucidation of and appreciation for African culture and heritage and to dispel misconceptions of Africa, through research and teaching of African studies;
4. To develop completely the human resources for meeting manpower needs;
5. To train the "whole man" for nation building;
6. To evolve over the years a truly African pattern of higher learning dedicated to Africa and its people yet promoting a bond of kinship to the larger human society.' [1][1]

An expansion of the university's traditional role is reflected in the sentiments expressed by Mr. Jose Y. Tuazon, Under-Secretary of Education, Republic of the Philippines, at the Conference of Heads of Universities, at the University of Karachi in 1961. These sentiments are summarized, as follows, under the heading 'Social Responsibilities of Asian Universities':

'There is general acceptance that the university of today cannot be an isolated institution—not an island inaccessible from the main. If it is to be of maximum service, it must be truly an integral and functioning part of the society which maintains it. It must, as of old, acquire knowledge and enrich knowledge for the use and benefit of the people. . . . If they are to be sensitive and true to the

1. The figures in brackets refer to the notes at the end of the chapter.

ideals of our day and age, the universities of Asia in particular must serve as dynamic instruments for social reconstruction, for the development of truly Asian political systems, for the elevation of standards of living, for the survival and advancement of the people that they serve. Just as they should maintain their interest in the source and synthesis of all knowledge, they should likewise remain closely identified with, and sensitively cognizant of, the varied and changing problems of modern society on national, regional and international levels.' [2]

## GROWTH AND DEVELOPMENT OF HIGHER EDUCATIONAL INSTITUTIONS

The need for more and better higher education facilities had existed for many years prior to the achievement of independence by former territories and colonies. The United Kingdom recognized this need, in what were then its overseas territories, by the appointment in 1943 of the Asquith Commission, officially known as the Commission on Higher Education in the Colonies. Its report in 1945 recommended a broad programme of university development under which 'the British universities, with financial help from the British Government, were to foster the evolution of universities in the territories, helping the institutions there existing, and creating others where none existed. The impulse to development was to come from Great Britain, and the task, though officially approved and financed, was to be promoted by the British universities. This plan was approved by the government . . .'.[3]

In the book quoted above the author gives an illuminating account of problems and accomplishments of the university development programme which the commission's recommendations set in motion.

Recent evidences of a movement to improve Latin American universities may have profound effects on university library development. The Conference on Education and Economic and Social Development which met in March 1962 at Santiago (Chile) 'recommended that the countries of Latin America achieve a situation in which Latin America as a whole could devote to education not less than 4 per cent of the public funds of its gross national product, and that 15 per cent of the public funds received from the Alliance should also be used for education' [4]. The conference also recommended the improvement of university libraries as part of a general improvement of library services.

Directly related to this meeting was the Regional Seminar on the Development of University Libraries in Latin America. Organized by Unesco in co-operation with the Government of Argentina, the

seminar was held at Mendoza (Argentina) from 24 September to 5 October 1962. The importance of the library in relation to the university was stressed by the members of the seminar when they 'declared their profound conviction that: (a) the level of a country's development depends largely on the level of its higher education system; (b) the standard of higher education depends largely on the performance of universities; and (c) universities will be as good as their libraries' [5].

The seminar programme covered a wide range of subjects beginning with a fundamental discussion of trends and changing objectives in higher education in Latin America. This was followed by a consideration of university library functions in the light of these objectives and the probable development of higher education in Latin America in the coming decade. The major significance of the seminar resides in the comprehensive analysis and evaluation of the resources, services, facilities and practices of Latin American university libraries, and of the obstacles which must be removed before these libraries will be able to support the massive programme of university development which is contemplated.

The problems of university development in Latin America differ from those of many newly developing countries in some major respects. The new countries, in all too many instances, must create universities and libraries where there were none. Establishing and building new library collections and providing buildings and staff are likely to be regarded as the paramount problems under the circumstances. Latin American university libraries require—as all libraries do—a steady flow of new library materials, and in many instances new buildings and additional staff. Many, however, especially in some of the old universities, have rich resources. But these may be scattered among the various faculties and are often quite inaccessible. Latin American university librarians have therefore stressed the need for better co-ordination and more co-operation in the use of library resources.

In Latin America the problems of university library development, as well as those of general university development, tend to be more subtle and difficult in nature than those of new States, as they deal with situations in which faculty attitudes and teaching methods, long-established practices and traditions, legal problems and the physical location of university buildings require consideration in some degree. Nevertheless, there is wide agreement among university and government officials, as well as librarians, that these problems must be faced and solved.

A major contribution towards the identification and solution of the problems of university development in Africa which has important implications for library development was made by the Conference on Development of Higher Education in Africa (Tananarive

(Malagasy Republic), 3 to 12 September 1962). Its conclusions and recommendations are set forth in the plan for the development of education in Africa, 1961–80. This outlines the role of higher education in Africa, its planning, staffing and financing, the choice and adaptation of the curriculum, and the roles of inter-African and international co-operation. Particular reference is made throughout the plan to the needs of the nations of Middle Africa but the principles that are expressed or implied and the general approach to the problems of university development have wide application [6].

The plan might well serve as the basis for a plan of library development for it stresses full utilization of educational resources at national and regional levels, the importance of planning in accordance with sharply defined objectives, the necessity of co-ordination and the values of co-operation. Libraries, in this context, could be established and developed from the outset not only as the principal information centres of their universities but as branches of nation-wide and international information networks.

## FACTORS AFFECTING UNIVERSITY LIBRARY DEVELOPMENT

University libraries should be designed to support the role which has been assumed by or assigned to the university. In addition to the specific 'obstacles' which are mentioned in the Introduction, a variety of internal and external factors may affect the development of university libraries. These may need to be considered in planning library development in the interests of the nation as well as of the university. In addition to the growth and development of higher educational institutions in the nation and region, and the local characteristics of higher education, these include: (a) number and type of specialized research institutions; (b) the state of library services in the nation; (c) conditions in particular universities; and (d) the status of librarianship.

## GROWTH OF SPECIAL RESEARCH ORGANIZATIONS

The influence of science and technology on national development is today universally recognized as a major force motivating scientific research of all types. Whether it represents an aspect of pure or applied science, research is a central concern of higher educational institutions and of governments.

Auger makes a helpful distinction between pure and applied science which serves to clarify the respective roles of universities and governments: 'Research has two aspects—comparable to the two categories of pure science and applied science—which can be

described by the words "knowledge" and "action". Under the first head, we shall find observation and theory, and under the second, experiment and application.' [7] Universities are the traditional centres of pure science—of knowledge in terms of observation and theory. They are increasingly becoming involved, however, in experiment and application with a view to furthering economic and social development. The role of government is to encourage and support planned and co-ordinated development of scientific research, recognizing the fundamental relationship between pure and applied science; that of the university is to conduct appropriate programmes of training and research, and to maintain close liaison with other higher educational and research institutions.

There has been a significant growth of research institutes in the developing countries. A recent report to the United Nations Economic and Social Council indicates the existence of 45 industrial research institutes in 36 countries; 29 productivity and management development centres in 28 countries; and 209 national scientific development organizations in 65 different countries [8].

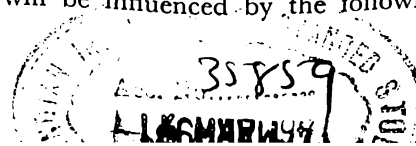
Research institutes within or outside universities need scientific information materials and services. The magnitude of this need is reflected in the statistics of scientific publication. Approximately 100,000 scientific journals and periodicals were being published in 1960, according to Auger [9].

But journals and periodicals alone will not meet the needs of research centres. There should also be a steady flow of unpublished reports—of which thousands are produced annually in research institutes around the world—of important books, of abstracts, translations and of all other types of information materials whose availability will give the researcher access to existing knowledge on his subject and enable him to avoid unnecessary duplication. As the volume of information production is so great, even the largest libraries of Western countries can no longer hope to achieve completeness on a comprehensive basis but must resort to various forms of co-operative acquisition in association with other institutions. It is even more important for university and other research libraries in developing countries to work together in this respect.

University and government support of library development on local, national and regional levels is essential. Without such support librarians who are otherwise fully capable of doing so, cannot plan, build and co-ordinate research library resources and services.

## STATE OF LIBRARY DEVELOPMENT IN THE NATION

Whether the university library has limited or broad responsibilities, its development will be influenced by the following conditions



which characterize the state of library services in the country: the existence of other university libraries in the country or region; the prevalence and quality of school, public and special libraries; the existence of a national library or of a national library system; the presence of documentation and bibliographical centres; the financial support of library services; the restrictions on imports and currency; the extent of co-operation and co-ordination among libraries; the availability of trained librarians; the availability of training for librarianship; the status of librarians in the country and in the university; and the strength and quality of the professional library associations.

In countries where library development has been adequately supported it is usually found that the status of librarians as professionals has steadily improved, that library training facilities exist, that professional library associations have useful and respected roles, and that librarianship has contributed heavily to economic, social, cultural and scientific advancement. In such countries new university libraries have access to the accumulated experience and the resources, both material and personal, of the existing libraries and of librarianship in general. The Scandinavian countries stand out admirably in these respects.

## CONDITIONS IN PARTICULAR UNIVERSITIES

In addition to being generally affected by the major purposes of the institution it serves, the library may be influenced by the administrative and scholarly atmosphere of the university. Pertinent factors include the organization, authority and physical location of the faculties, their teaching methods and interests in research and publication, the size and character of the student body, the extent of the curriculum, the locus of control of university affairs, the sources of funds, the financial support of the library, the authority and status of the university librarian and his staff and the development plans of the university.

The conditions which are enumerated above, should be considered, appraised, and changed when necessary in order to ensure an effective role for the library. One of the fundamental problems of organization and control, which will be found in new as well as old universities, is the degree of centralization or decentralization of library resources and services which will best serve the purposes of the university. This and other problems which arise from the conditions in which the library will have to operate will be discussed in succeeding chapters.

Although libraries and librarianship have ancient origins, modern librarianship did not emerge as a professional discipline until the nineteenth century. By the beginning of the twentieth century, librarianship had established strong roots as a new profession. It had: identified and organized a body of principles and practices, established professional associations, produced substantial publications, provided for training and defined its mission. The twentieth century would witness further advances in library technology and in the training of librarians, the growth of specialization, the spread of co-operative activities on national and international levels, increasing appreciation of the vital importance of libraries as centres of information and education, and rising respect for the qualifications and services of librarians.

Since the end of the Second World War, library technology has advanced swiftly. Significant progress has been made in designing functional library buildings, in the organization of co-operative and centralized purchasing and cataloguing, in the use of machine techniques, and in documentation services including abstracting, indexing and translating. But these advances cannot be utilized for the benefit of the university and the nation unless the obstacles to effective library organization which now exist in greater or lesser degree, are removed.

NOTES

1. UNESCO. *The development of higher education in Africa. Tananarive, 3–12 September 1962.* Paris, 1963. 339 pp. See p. 19.
2. INTERNATIONAL ASSOCIATION OF UNIVERSITIES. *Bulletin*, vol. 10, August 1962, p. 186.
3. CARR-SAUNDERS, A. M. *New universities overseas.* London, Allen & Unwin, 1961. 260 pp. See p. 17.
4. UNESCO. Regional seminar on the development of university libraries in Latin America, *Unesco bulletin for libraries*, vol. 17, Supplement March-April 1963, pp. 123–36. See p. 123.
5. ibid., pp. 123–4.
6. UNESCO. *The development of higher education in Africa. . . .* See pp. 69–81.
7. AUGER, Pierre. *Current trends in scientific research.* Paris, Unesco, 1961. 245 pp. See p. 19.
8. UNITED NATIONS. ECONOMIC AND SOCIAL COUNCIL. Advisory Committee on the Application of Science and Technology to Development. First session. *Communication of the Administrative Committee on Co-ordination to the Advisory Committee on the Application of Science and Technology to Development.* 22 January 1964. 64 pp., including Annexes I-V. (Doc. E/AC.52/L.2.) See Annex IV, pp. 1–30.
9. AUGER, op. cit., p. 15.

CHAPTER II

# THE ROLE OF THE UNIVERSITY LIBRARY

The role of the library can be defined within the framework of the university's mission and a library development programme can be undertaken accordingly.

## THE LIBRARY PROGRAMME

Whether designed for the purposes of initial library development in a new university or for the improvement of services in an existing one, the library programme should reflect the means by which the library will advance the objectives of the university.

In the formulation of the programme three classes of people are involved: those who will use the library, those who will operate the library; and those who are responsible for authorizing and financing library development. The university librarian should be the chief architect of the library programme and he should present it to the governing authority for approval.

A library development (or improvement) programme should provide first for the foundations of effective service: a statement of library service objectives, a competent staff with authority as well as responsibility for developing library services, a plan of organization and administration and adequate financial and administrative support; secondly, for the physical facilities, library resources and services which will be required; thirdly, for continuous maintenance and development, and for co-operation and co-ordination of library services within the university and with libraries and other information agencies outside. Finally, it should provide for periodic evaluations of the service to ensure that the library is fulfilling its mission effectively.

## EDUCATIONAL FUNCTIONS OF THE LIBRARY

The fundamental role of the library is educational. It should not be operated as a mere storehouse of books attached to a reading-room,

but as a dynamic instrument of education. It should feed the intellect of the student, encourage the researches of the faculty, and invite all who enter its house to partake fully of its intellectual and cultural fare. In this context library use becomes a method of teaching, taking its place beside the time-honoured lecture and the discussion group. The librarian serves as a teacher—guiding the student in the ways of investigation and research—and the library actively serves the teaching and research needs of the faculty.

This point of view has many implications: the library collections need to support not only every course in the curriculum and every research project of the faculty, but they must also extend beyond these to include a good representation of major subjects that are not in the curriculum and strong holdings of general and specialized bibliographies; the collections must be organized to permit easy access to their contents; borrowing privileges should be free and generous; students and faculty should be informed about library resources and services; the library should conduct programmes of instruction in library use; the library building should be designed to facilitate these functions; the professional staff, together with its faculty colleagues should co-operate and collaborate in every possible way to achieve the aims of the university. Above all, a competent staff will be required to give permanent direction and vitality to this educational enterprise.

*Faculty-library relationships.* There should be conscious co-operation between the faculty and the library to promote effective independent use of the library by students. In such a relationship, the faculty and the library staff each have individual functions.

Good teaching supplies the student with the basic motivation to make effective use of the library. Regardless of the method—whether it be lecture, class discussion, laboratory demonstration, tutorial conference—the end result should be students whose minds have been challenged, whose curiosity and critical faculties have been aroused, and whose innate desire to learn has been encouraged. Such students will quickly find their way to the library. To them it will be an intellectual necessity.

The teacher may find the library an extraordinarily helpful source of assistance in his teaching and research. He will, therefore, want to acquaint himself thoroughly with its resources and services. He may be encouraged to give his students assignments which will involve their use of the library. He may want to invite a library staff member to his lecture room to discuss bibliographical tools which may be of use to the students. He may find it profitable to consult the librarian about providing special materials for his teaching or research. The relationships between the faculty and the library may be very fruitful indeed, if they are reciprocal.

The librarian can play his part effectively by making himself thoroughly acquainted with the curriculum and the individual interests and teaching assignments of faculty members. He should keep the faculty well informed about new acquisitions. He should assist students in their use of the library by providing appropriate reference and bibliographical services, and make special provisions for accommodating advanced students and researchers. If circumstances permit, he may prepare special bibliographies in collaboration with the faculty, for student use and offer bibliographic services to the faculty in connexion with their research or writing.

A library handbook for the faculty is a desirable device for informing them about the library and encouraging their support and co-operation. It may include descriptions of: library resources, with special emphasis on collections of unusual significance; library services, including interlibrary loans, photocopying, indexing, abstracting, instruction in the use of the library, preparation of special reading lists; library facilities, including representations of floor plans, mention of seminar rooms and special research facilities for the faculty; agreements and working arrangements among the libraries within and outside the university; rules, regulations and privileges; book selection and acquisition policies and methods; and such additional topics as may have special pertinence. The faculty library handbook will not require frequent revision. It should be printed in an edition large enough to supply copies to every member of the existing faculty, part-time as well as full-time, and to new faculty members for about five years.

*Instructional services of the library.* All too many students all over the world in highly developed, as well as less developed countries enter the university with a rather limited notion of the universe of books. Like his colleagues in the lecture hall, the librarian has an obligation to assist in the intellectual development of the student. He may meet it in a direct and personal way by offering instructional and informational assistance commonly called 'reference service'. This can be supplemented by the more formal means of instruction in the use of the library and a student library handbook.

Such instruction may take the form of: orientation tours for groups of new students; introductory lectures on basic tools, such as library catalogues, periodical indexes and reference books; advanced lectures and demonstrations in the use of specialized information sources; lectures on compilation of bibliographies and on the writing of reports and theses; films on the use of books and libraries; student library handbooks.

New students should be given information and instruction about library use as soon as possible after their arrival at the university. This may encourage some to make independent efforts to extend

their intellectual horizons beyond the minimum requirements of the curriculum. The new student should be taught how to use the library catalogue, how books are arranged and how he may obtain them.

The rules for borrowing books and other library rules should be explained, as well as the hours of opening and the special services and facilities available. Above all, he should know to whom he can go for advice and information about the library. In small institutions, it may be possible to conduct orientation tours and lecture-demonstrations for small groups of students. In large ones it may be necessary to conduct large lectures, to show films, or to rely mainly on a good library handbook.

Advanced undergraduates and graduate students should receive instruction in the use of specialized bibliographical tools and in library research techniques.

*The student library handbook.* In these efforts to assist and instruct students a library handbook can be a valuable device. It may take the form of a brief leaflet or a substantial pamphlet or book. Several good handbooks for the general guidance of university students have been published in recent years. It is desirable to purchase a few of these, and some books on research methodology in special fields for the library collection. But these will not take the place of a specially designed publication written in the local language to facilitate the use of a particular library by its own student clientele. A comprehensive handbook is described for illustrative purposes [1]. This is a printed book of 100 pages, with numerous illustrations. It includes a convenient checklist of library resources which lists in outline form the many types of reference materials available in the library. The first chapter gives an over-all view of the library, explains how the collections are organized and describes the physical facilities. A diagram of the main service floor shows the location of principal collections and service points. Succeeding chapters describe such topics as the location and arrangement of books, the method of obtaining books and the regulations and policies of the library, the library collections and its special services. One chapter is devoted to a description of the library card catalogue and detailed instructions in its use, another to periodicals, newspapers and government publications, their use and how to obtain them. In another the reference collection is described in some detail; some of the major works are described in terms of the purposes for which they may be used. There is a separate chapter in which the student is offered some suggestions for a systematic approach in writing a report or a paper.

NOTE

1. FREYER, K. *Paul Klapper Library handbook.* Rev. ed. Flushing, N.Y., Queens College, 1962, 100 pp.

CHAPTER III

# GOVERNMENT AND CONTROL OF THE UNIVERSITY LIBRARY

As a general principle, university library policy and government should be clearly defined by the governing body of the university. Definition may take the form of statutes, laws, edicts, decrees, regulations, or other forms according to local custom, the objective being to facilitate library development and use.

## THE ROLE OF THE GOVERNMENT

Along with the authority of the government to establish and control universities goes the obligation to foster their development in the national interest. The ministry or department of education is often responsible, especially in countries where the educational system is highly centralized. The degree of control which is exercised by the government is obviously reflected in the degree of autonomy which its universities have. Regardless of the character of government control, however, there are certain functions of government which can be expressed through appropiate legislation, or by administrative actions outside the university. These can directly affect university, as well as other types of libraries. They include:

1. Establishing a nation-wide library system, and creating in this connexion a national library advisory board or commission. Ghana created a statutory Library Board in 1950. By 1962, the board, whose funds are supplied almost entirely by the Ghana Government 'established a country-wide library service which guarantees to get books to anyone asking for them' [1]. Its library resources are available to Ghana's universities.
2. Establishing a university grants committee. This 'is a unique British institution, whose only very approximate equivalent elsewhere is the Chancellor's Office in Sweden' [2]. At the time of its establishment in 1919, the committee's 'first terms of reference were to inquire into the financial needs of university education in the United Kingdom and to advise the government as to the application of any grants that may be made by Parliament to meet them' [3]. After the Second World War, conditions in the

British universities had changed so materially as to warrant an expansion of these terms of reference, as follows. The committee would now also be required 'to assist in consultation with the universities and other bodies concerned'—a very important proviso—'the preparation and execution of such plans for the development of the universities as may from time to time be required in order to ensure that they are fully adequate to national needs' [4]. There is a possible place for a university grants committee, with functions similar to those described, in developing countries. Such a committee could report to a ministry of education, a ministry of finance, a national planning board, or even to the Head of State.

3. Acting to ensure the free flow of books, periodicals, microfilms and other library materials and that of specialized library equipment and furniture.
4. Encouraging the development of the library profession by:
   (a) recognizing the professional and academic qualifications of librarians by treating them as professional, rather than clerical personnel in the civil service;
   (b) giving professional librarians academic status with ranks and salaries comparable to those of the faculty, in universities which are under direct government control;
   (c) relieving university librarians of personal financial responsibility for loss of books; and
   (d) authorizing and assisting the formation and operation of associations of professional librarians.

These examples of desirable government activities are mainly of the external type in the sense that they indicate what the government can do to create a favourable environment for the growth and improvement of university libraries without becoming directly involved in the internal management of the university. There are, in addition, various gradations of involvement. This may take the form of the creation of State or national library standards which the university may be required to meet in order to qualify for government approval and, in some instances, for financial support. Library standards can alternatively be set by voluntary associations of universities and professional associations. These are not legislative actions in a strict sense but they may produce the same results if they are recognized by the State. Where the government has found it advisable to involve itself directly in the internal management of the university, as in the Soviet Union, very explicit directives may be issued. Thus the Standard Regulations for a Library in an Institution of Higher Education describes major aspects of library organization and operation under the following headings: Functions of the library; Substance and aspects of library activities; Structure of the library; Library administration; Library council (for purposes

of co-ordinating library operations with research and study at the institution of higher learning); and they contain a Model Table of Organization for the Staffs of (the) Libraries which prescribes the number of librarians of various ranks to which an institution is entitled according to the size of its student enrolment [5].

## THE ROLE OF UNIVERSITY GOVERNING AUTHORITIES

Within universities there is a complex and diverse network of governmental relationships about which it is virtually impossible to generalize. 'The nature of the policy which governs the internal organization and administration of the university library depends, in most cases, on the prescribed regulations, by-laws, and proceedings of the governing body of the university or of the faculty or senate or other university body to which the governing body has delegated authority for formulating such policy. This is true of both public and private institutions.' [6]

Depending on the degrees of authority and responsibility with which they are invested, these governing bodies may have a wide range of functions: responsibility for the physical property of the university and the administration of its finances; approval of academic regulations proposed by lower bodies; approval of all or some appointments to the faculties; approval of curricula; authorization of the formation of new faculties, schools, colleges and institutes; award of degrees upon the recommendations of the faculty; planning of university development programmes; appointment of the chief administrative officers of the university.

*Role of the university librarian.* As a university rather than a faculty officer, the university librarian has wide-ranging responsibilities which necessarily bring him into contact with a variety of officials within and outside the university. He is usually appointed on the recommendation of the executive head of the institution—its rector, president, or vice-chancellor—to whom he reports directly.

To perform his mission effectively the university librarian should be in a position to participate in the planning of new programmes and of university development. His knowledge of library resources and needs can be helpful in the consideration of the library implications of proposals for development.

In his relations with the librarians of faculties and institutes he should represent the university authority so that he can co-ordinate their activities and plan central services from which all can benefit.

He should be a member of the general faculty and of the university senate in view of the scope of his responsibility and authority.

He should be a member of, or be represented on, senate and faculty library committees.

The university officials with whom the university librarian may have educational, research, business or administrative relations should know the extent of his authority and responsibility. They have the obligation to co-operate with and expedite the work of the library, for thereby the best interests of the university will be served.

Where university presses exist, the university librarian will probably need to make arrangements for acquiring copies of all publications, for national and international exchanges.

He may also have a large number and variety of contacts outside the university. These may include co-operative working arrangements with the national library, bibliographical and documentation centres, co-operative purchasing and exchange organizations, union catalogue projects, co-operative cataloguing and processing centres, and interlibrary loan organizations. Some of these organizations will be regional as well as national or local.

For all the activities which have been mentioned the librarian needs to receive appropriate authority. How can this authority, which is largely based on the concept of a co-ordinated university-wide library service, be established? The answer would seem to be: by friendly persuasion and appropriate legislation.

A faculty of an old university is not likely to agree voluntarily to give up or share control of its library unless it is persuaded that its best interests will be served by doing so. Many would be willing to give up a degree of autonomy in return for centralized services such as purchasing, cataloguing and processing, binding and mending, photographic duplication, union catalogues of total university library resources, quick communications, rapid delivery of books from the central library to their offices, interlibrary loans, bibliographic assistance in research and facilities for private study and writing. An adequately supported university library, staffed with well-qualified librarians and a supporting staff of clerical assistants could provide these and additional services. Faculties and institutes would not necessarily give up their libraries. A faculty housed in a building many kilometres away from the central university library would probably require a library collection of its own. Nor would it necessarily have to give up the privilege of selecting its own books. It could still be part of a university library system and receive many of the services of the central library. Its books could be listed together with those of all other faculties in the central union catalogue of the university library. Through the catalogue the faculty could have access to all of the library materials located in the university assuming, of course, that it would be willing to give other faculties equal access to its own books.

The university librarian might well serve as a catalytic agent in combining the faculty library concept with that of the university-wide library if he has the respect of the faculty and appropriate official authority. To attract respect he should have a sound academic background, professional library training and appropriate administrative experience, intelligence, diplomacy and substantial personal authority. The initial appointment or designation of a university librarian should be made with the advice of the senate, where one exists, or that of the heads of the faculties and institutes.

## UNIVERSITY LIBRARY STATUTES

It should be the objective of library statutes to lay down a basis for co-ordinated library development.

*Provisions of statutes.* The statutes should cover essential elements of university library policy and government such as: a statement of the mission of the library; a definition of what constitutes university library resources and facilities; a definition of the status of the university librarian; a definition of the status of the professional library staff; provision for a university library advisory committee; authority for co-operative and co-ordinative activities both within and outside the university; and such additional statutes as may be required by local conditions.

*Mission of the library.* The scope and general nature of library services may be defined in terms of specific objectives and functions. The statutes may state whether the library is to serve only the university clientele or whether it is to be available to the public, the government, or act as a national or regional library.

An example along these lines appears in the statutes of Rutgers University (United States): 'The University Library shall offer instruction in bibliography and the use of the library to students when properly authorized by any faculty. It shall facilitate the programs of instruction and research of the other units to the fullest practicable extent. It may make its services available to the public, to the industries of the state; and to state officials.' [7]

*University library resources and facilities.* The nature of library resources should be defined, and it may be stated explicitly that all resources, whether acquired by purchase, gift or exchange, regardless of their location in the university, are automatically the property of the university. An example of such a statute comes from the University of Illinois (United States) statutes: 'The Library includes all such books, pamphlets, periodicals, maps, music scores, photographs, prints, manuscripts, and other materials as are commonly preserved in libraries, purchased or acquired in any manner by the

University to aid students or investigators.' [8] Such a statute may have far-reaching implications. It does not necessarily imply, however, that faculties or institutes must give up custody of library materials. It simply assumes that the resources of all integral parts of the university should be considered university resources. This definition would include buildings, equipment, supplies and furniture, as well as books. It would not, of course, involve the personal property—books, etc.—of faculty members.

*The university librarian.* The status of the university librarian is defined, and a university's policy in regard to the scope of library service is indicated in this quotation: 'The Librarian of the University shall have general supervision of all libraries maintained in Rutgers University. He shall operate the libraries in such a way that they shall constitute a single unified library system. In the case of library units maintained outside the central library building, he shall exercise supervision mainly through branch librarians or other appropriate officers responsible to him located at the respective branch libraries in the several colleges and schools. The branch librarians or other officers shall be responsible for carrying out university policy with respect to the libraries in their charge in accordance with the advice of the Librarian of the University who shall cooperate fully with the respective Deans.' [9]

In other statutes of this university the librarian is designated as an 'officer of administration' along with the president, the provost and other university officials [10], and a member *ex officio* of the university senate [11]. If it is within its power, the university should specifically exempt the university librarian and his staff from personal financial liability for the loss of books. He should be held generally responsible for good management and the reasonable security of the collections.

*Status of the professional library staff.* Here is an opportunity for the university to take an important step toward encouraging the best of its graduates to consider librarianship as a possible career. It would consist of requiring of its professional library staff qualifications comparable to those of the teaching staff, defining the qualified staff as members of the academic or instructional staff and providing comparable rank and salary. There is ample precedent for this. But precedent alone need not be the compelling force. Modern university library service requires well-trained professionals whose minimum qualifications should include an undergraduate degree plus a full year or more of graduate training in librarianship. By insisting on high qualifications and providing academic rank and salary with an opportunity for advancement, the university will encourage more of its best graduates to become librarians and enter its service.

The statutes should also indicate the responsibilities of the pro-

fessional staff and its relation to the university librarian. If the professional staff is classified with the teaching staff, then the statutes relating to privileges and conditions of service of the teaching staff can be defined to include the library staff.

*University library advisory committee.* There should be provision for advisory committees on the university library. A committee of the senate may serve as the all-university committee, while each of the faculties or departments may wish to form its own committee. The university librarian should be a member of the senate committee, and he or some of his senior staff may serve on faculty or departmental committees.

Library committees should be advisory, not operational. The statutes should accordingly specify the advisory nature of such committees. Otherwise there may ensue a confusing overlapping of functions between the library staff and the faculty.

The statutes may strengthen the hand of the university librarian by authorizing him to engage in co-operative and co-ordinative activities. Many librarians are apprehensive about extending themselves in such ways in the absence of specific authority.

NOTES

1. EVANS, E. S. A. Ghana and its libraries, *Libri*, vol. 12, 1963, pp. 364–8. See p. 368.
2. KERR, A. *Universities of Europe.* Westminster, Md., Canterbury Press, 1962, 235 pp. See p. 205.
3. ibid., p. 206.
4. loc. cit.
5. HORECKY, P. L. *Libraries and bibliographic centers in the Soviet Union.* Bloomington, Ind., Indiana University, 1959. 287 pp. (Indiana University publications, Slavic and East European series, vol. 16.) See pp. 240–3.
6. WILSON, L. R.; TAUBER, M. F. *The university library; the organization, administration, and functions of academic libraries.* 2nd ed. New York, Columbia University Press, 1956, 641 pp. (Columbia University studies in library service, No. 8.) See p. 34.
7. RUTGERS UNIVERSITY. *University statutes; adopted by the trustees.* New Brunswick, N.J., 1 July 1955. 29 pp. See p. 7.
8. As quoted in Wilson and Tauber, op. cit., p. 35.
9. RUTGERS UNIVERSITY, op. cit., p. 10.
10. ibid., p. 8.
11. ibid., p. 23.

CHAPTER IV

# ORGANIZATION AND ADMINISTRATION

Whether it be small or large, the university library needs to be well organized and efficiently administered in order to perform effectively. Thus the acquisitions function of a large, rapidly growing library will require the services of a large staff; cataloguing and classification functions will similarly require much staff. In the small library, one or two librarians may be able to perform all acquisition, cataloguing and classification work. Yet the kinds of work to be performed remain the same, regardless of the size of the library. It is important then, that the university librarian be thoroughly acquainted with major library functions; here the value of sound training and experience is evident.

Efficient administration requires forecasting and planning in relation to the library's objectives; sensible organization or grouping of appropriate activities; calculation of material and personnel requirements; selection, assignment, training and supervision of personnel.

In planning and administering library development within the university and in relation to other libraries and organizations, principles of administration should be applied, and a co-operative, constructive spirit should permeate the entire process. Problems relating to centralization or decentralization of services will require study and decisions. Long- as well as short-range library planning may be called for.

## FACTORS AFFECTING ORGANIZATION AND ADMINISTRATION

In preceding chapters, the principal factors affecting university library development have been cited. In drawing up a programme for the development of resources and services to support the university's objectives, the university librarian and his colleagues need to make not only a sound appraisal of the resources that are available and the conditions under which the library is operating, but they must also have specific knowledge of the financial and administrative support that the university or the government, if it is

directly or indirectly involved, is willing to provide for future development. If the staff is small and largely untrained, the book collections inadequate, or widely dispersed among faculties, institutes or departments where the university librarian has no control, any programme he can devise is likely to be largely ineffective. He must be given adequate resources and authority. With these, he can plan and present for the approval of the higher authorities a realistic programme.

## TYPICAL LIBRARY ACTIVITIES AND FUNCTIONS

Activities that are commonly performed in university libraries fall into the following categories: administrative services; technical services; readers' services; and special services.

*Administrative services* on the highest level are usually performed by the university librarian, or his deputy, if one is assigned; on lower levels, by heads of departments and divisions within the central university library. Heads of faculty, college, institute and departmental libraries may also need to perform many of them, depending upon the structure of the university library.

Typical activities include: preparing and administering the budget; selecting, training and supervising the staff; planning library development; creating and administering policies and regulations; maintaining relations with university officials; participating in meetings of faculty and other university organizations; developing and supervising book-collecting policies and procedures; participating in the planning and equipping of new library facilities and in the alteration of existing facilities; preparing reports and memoranda; conducting surveys and analyses of services; classifying library positions, maintaining personnel records and recommending promotions, transfers, salary adjustments and dismissals; participating in library conferences and professional associations; ordering supplies and equipment; maintaining financial records when required; publicizing library resources and services [1].

*Technical services* comprise the functions of acquisitions, cataloguing classification, binding, photographic reproduction and lending operations [2].

The acquisitions function consists of activities related to the selection of library materials, and of all that is involved in their acquisition by purchase, gift, exchange or deposit.

Cataloguing and classification are the functions associated with the identification and description of library materials and their organization, through classification, for effective use.

Binding is associated with the broader function of preserving and safeguarding the collections not only by such activities as preparing unbound and worn or damaged books for binding and mending and repairing library materials, but also by operating fumigation devices for control of book destroying insects and applying preservatives against decay and damage as required.

Photographic reproduction services may include a large variety of activities such as copying articles, statistical tables, diagrams, etc., from books and journals, reproducing catalogue cards and preparing slides and filmstrips for instructional use.

*Readers' services.* Readers' services, often called 'public services' are those offered directly to the users of the library, in contrast to the technical services.

Circulation services are common to all types of libraries. They usually include provisions for the use of library materials within the library, for lending them to its own clientele and to other libraries, and for the maintenance and control of book storage and delivery systems.

Reference and information services may be offered centrally in a small library, or subdivided into general and specialized services in a large library with many special collections, departmental and faculty libraries.

*Special services.* Depending upon their human and material resources and the functions which have been assigned to them, some university libraries may offer a variety of special services apart from those usually given to their university clientele. The following are examples: serving as a national library and providing technical and readers' services in this connexion; mounting special exhibitions, arranging lectures and concerts; operating printing and publishing services and bookstores; conducting library service lectures, workshops, institutes and schools of library science. In general it may be wise to organize and finance such services on a separate basis; some should be operated completely apart from the library; each proposal for the establishment of such a service should be most carefully scrutinized.

## ORGANIZING AND ADMINISTERING LIBRARY ACTIVITIES

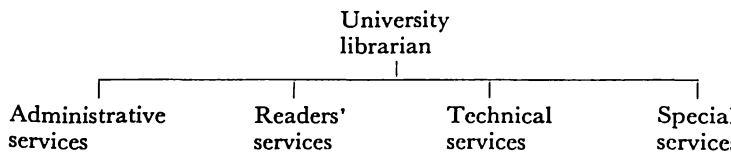
It is now possible to take up some of the practical problems of organization and administration. The first step is to design an organizational plan or structure. This is essential, whether the library is a one-man or a hundred-man organization. For, as L. Urwick, distinguished interpreter of Henri Fayol's theories of administration,

says: '. . . problems of organization should be handled in the right order. Personal adjustments must be made, in so far as they are necessary. But fewer of them will be necessary and they will present fewer deviations from what is logical and simple, if the organizer first makes a plan, a design—to which he would work if he had the human material' [3]. Urwick also emphasizes 'an important subsidiary principle . . . which makes it an imperative responsibility of the administrator that he should have a plan. That is the Principle of Continuity. . . . the structure should be such as to provide, not only for the activities immediately necessary to secure the objects of the enterprise, but also for the continuation of such activities for the full period of operation contemplated in its establishment' [4].

*The plan of organization.* The organizational plan can be developed by (a) identifying the particular activities which are or should be carried out, and grouping them by broad function; (b) arranging the functions in homogenous units, or departments, if the size of the staff warrants; (c) defining precisely the responsibilities and duties of each unit; and (d) defining the lines of authority and the relationships that should exist within and among the units or departments. An organization chart, supplemented with an explanation of its implications is a helpful device; it should be kept up to date to reflect accurately the particular organizational state of the library at a given time.

In a hypothetical library situation in which the librarian is the only professional member of the staff, his administrative functions could be expressed as shown in Chart I.

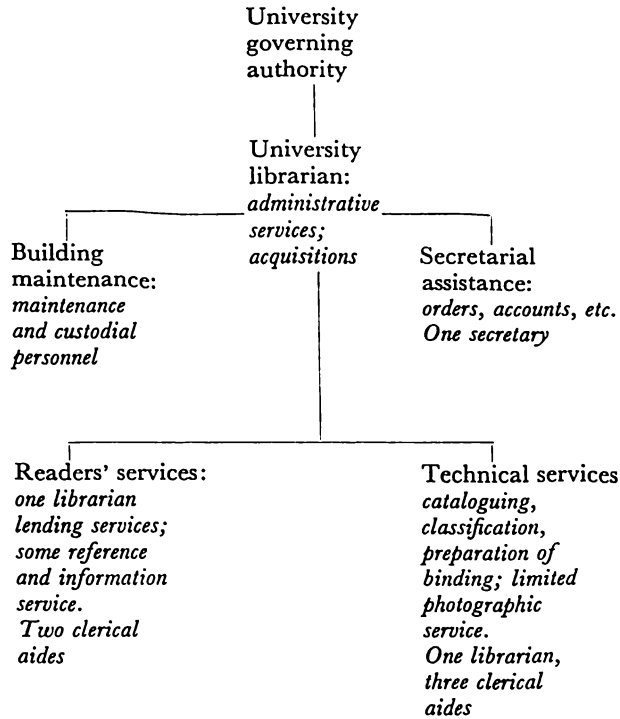
Chart I. Principal functions in a one-person library.




In such a situation the librarian obviously must perform all functions himself, unless he can have some clerical assistance. By himself, he would be severely limited in his ability to provide adequate service to the university clientele. He would probably need to confine his duties to ordering and cataloguing—technical services—and he would have little time to assist readers. He would have no time for special services. With no staff to organize and direct, he would perform few administrative services. The addition of clerical staff would not be enough to make workable a one-professional university library.

A minimum of three professionals supported by six or more clerical workers, plus maintenance and custodial personnel as required, should be the objective of even the smallest main library of a university. A diagram illustrating the functional organization of a nine-person library is shown in Chart II which follows.

Chart II. Functional organization of a library with nine persons on the staff.



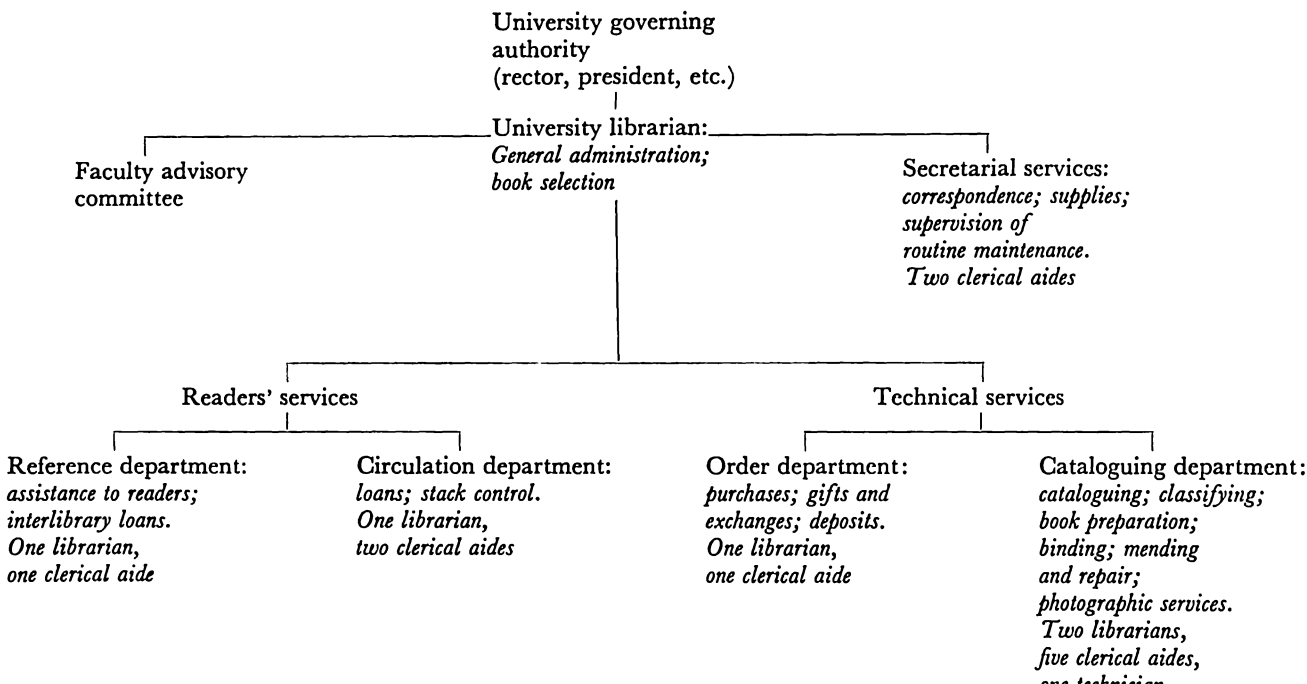

With a staff of three librarians, including himself, the university librarian can make a division of labour and assign responsibilities and duties. He will distinguish between professional and clerical duties to ensure that his small, professional staff will not be burdened with clerical activities. Even so, his staff will be too small to provide more than a minimum of special services; each professional may have to perform a variety of activities ranging over two or more functions. For example, the university librarian may undertake the acquisition function and perform selection and order activities. The librarian in charge of technical processes may be required to assist at the reference desk, while the readers' services librarian may be given additional duties in cataloguing.

But even in an organization of this small size, it is imperative that related activities be grouped together by function and that each member of the staff should know the precise limits of his responsibilities. In a library of this size the university librarian is directly involved in almost every library activity; as the library becomes larger, however, he must delegate progressively more authority in order to have time for his major responsibilities. The volume of activity will grow to the point where it is no longer feasible for each staff member to perform a variety of activities. The head of technical services can no longer spend time at the reference desk; the head of readers' services cannot be spared from his regular duties to assist in cataloguing, etc. Departmentalization may appear necessary, and the university librarian must review and revise his organization plan accordingly.

*Departmentalization.* According to Wheeler and Goldhor, the organization of a library department is justified when there emerges 'a distinct, coherent, specialized and important activity, extensive enough to require the full-time service of at least two persons' [5]. This may be regarded as a fundamental basis for departmentalization. Organization by broad function and related activities underlies all organization, as indicated above. Thus when the volume of the order activity becomes large enough to require the full time of at least two persons, it is time to create an order department. In this connexion it may be said that where the university librarian has himself been performing the order work and its volume reaches the stage where it occupies an unduly large part of his time, it is wise for him to transfer this activity to another person. The needs of the library's clientele may dictate the creation of separate departments in one or a group of related subjects. Law students, for example, may require special services and collections and undergraduates, a different form of service from graduates and faculty. The physical location of the university buildings, in relation to that of the main library, may require that separate facilities and services be organized. Form of material is frequently a basis for departmentalization. Many libraries, for example, have separate departments for periodicals, documents, manuscripts, etc.

Other factors, such as the design of the library building and unavailability of staff may affect departmentalization, but assuming a hypothetical situation in which the library has or will receive adequate quarters, and adequate provision exists, or will be created, for the growth of the collections and the staff, some more complex forms of organization may be considered. Chart III illustrates the organization of a central library with a staff consisting of six librarians, twelve non-professionals, and maintenance and custodial workers as required.

Chart III. Organization of a library with a staff of eighteen.



This represents a traditional functional organization in which departmentalization has appeared. The university librarian has transferred his order activities to a full-time librarian who has one clerical assistant, and has turned over routine supervision of building maintenance to his office staff. One librarian has been assigned to reference, another to lending services, and two to cataloguing and processing, where they also oversee binding operations and photographic services. The heads of the four departments report directly to the university librarian, while the clerical and technical assistants report to their respective department heads. For faculty liaison there is an advisory committee on the library with whom the university librarian may consult about planning library development, building up the collections, creating new services and related matters.

*Faculty, institute and departmental libraries.* In many of the old universities of Europe and Latin America the first important libraries were those of the faculties and the colleges. Historically, these organizations developed as largely autonomous and self-sufficient units, separately housed and often quite distant from each other, both physically and socially. During the last hundred years, more or less, separate teaching and research institutes have been founded either within, or in relation to, the faculties. Affiliated with the university, the institutes have tended to follow the faculty tradition with respect to their libraries. In modern times many of the old professional faculties continue to exist as schools or colleges of medicine, law, etc. and they have retained their libraries. One of the effects of this tradition in some old universities has been the slow growth and comparative weakness of their main libraries. Even when strong central libraries have developed their activities and resources are not always co-ordinated with those of the faculty and institute libraries.

Their need for convenient access to library resources undoubtedly motivated faculties to build their own collections. Often the only substantial funds available to the universities were those collected by or given to these faculties. The fact that they formed their own collections probably contributed to the sense of possessiveness that many faculties and academic departments now have toward their libraries. At its best, this is very good, indeed, for it stimulates and maintains high interest in library development among the individual faculty members. The sense of possession, coupled with a high degree of autonomy has frequently led, however, to restrictions being placed upon access to and use of faculty libraries by university members not associated with the particular faculty. It seems also to have been influential in deterring the development of university-wide library systems.

Departmental libraries, that is, library collections maintained by or for academic departments within a faculty have some of the advantages and disadvantages of faculty and institute libraries. The libraries housed in departmental buildings may range from a few shelves of books to several thousands. In universities with good central libraries, the departmental collections are usually selected by the departmental faculty and are often purchased and catalogued by the main library. These smaller libraries are often cared for by departmental secretaries or junior members of the teaching staff. Like faculty libraries, they are often virtually inaccessible to persons outside the department. In many, departmental personnel themselves do not enjoy easy access, for the library may be open only a few hours a day or the books may be locked up in cases for which the keys are not easily obtainable.

The major advantage and *raison d'être* of departmental and faculty libraries is their convenience for their own staffs. It has been found through experience, however, that this is not always an unalloyed blessing.

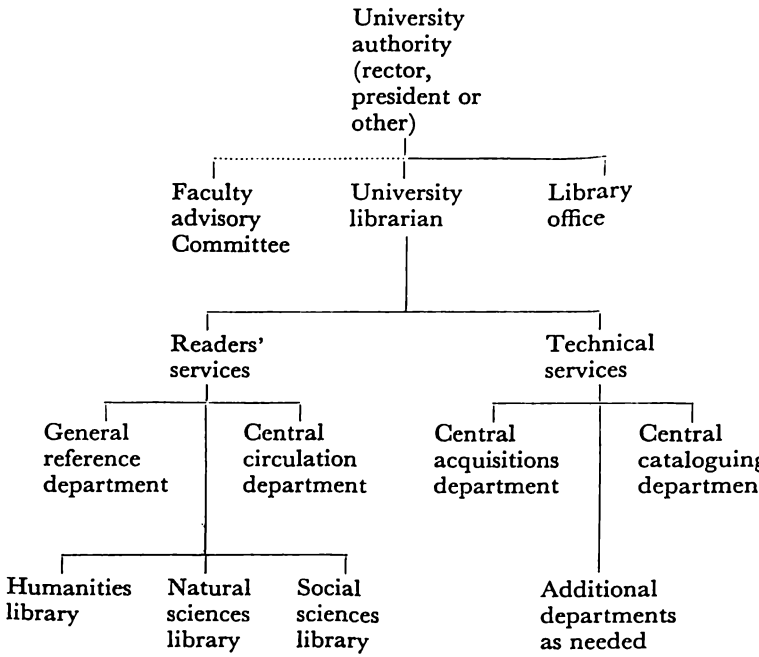
From the administrative viewpoint the problem is to develop a mutually satisfactory relationship between the main university library and those of the faculties, institutes and departments, which will make the total library resources of the university widely accessible and available while serving at the same time the convenience of the faculties which will be involved. Two methods of solving the problem suggest themselves: (a) executive action by university authority, directing the consolidation of all library administration in the interests of the whole university; (b) persuasive action by the university librarian and the university authority. As indicated earlier, the university librarian can do much to bring faculty and institute libraries into a closer and mutually profitable relationship with the main and other university libraries. In approaching this problem, however, he need not, indeed he should not, take an extreme position in regard to centralization.

*Centralization and decentralization.* In a university whose teaching and research units are dispersed over a large geographical area, such as a city, state or province, it may be essential to provide library resources in each or most of these units. Here, complete physical centralization or consolidation of the libraries would be clearly absurd. Nevertheless, some centralized services such as ordering, cataloguing, binding, photocopying, etc., might prove highly desirable. These services could be provided, with modifications or adaptations as required, by the main university library.

In universities whose faculties and professional schools are concentrated in a single area a number of possibilities present themselves. Collections and service can be centralized to a great degree in

the main university library building; easy access to the collections will enhance their usefulness to all members of the university community. Centralization does not necessarily have to be complete. Some universities have found it desirable, for example, to consolidate departmental library collections in related areas such as mathematics, physics, chemistry, biology and geology in a single science collection, and to house it in the quarters of the science faculties. The main university library in such circumstances may concentrate its collections in the fields of the humanities and the social sciences. In some instances the main library has organized the whole collection, and its services, in large groupings or divisions such as natural sciences, social sciences and humanities, that may correspond to the organization of the faculties. An illustration of a subject arrangement in large divisional groupings is given in Chart IV.

Chart IV. Subject (or faculty) divisions in university libraries



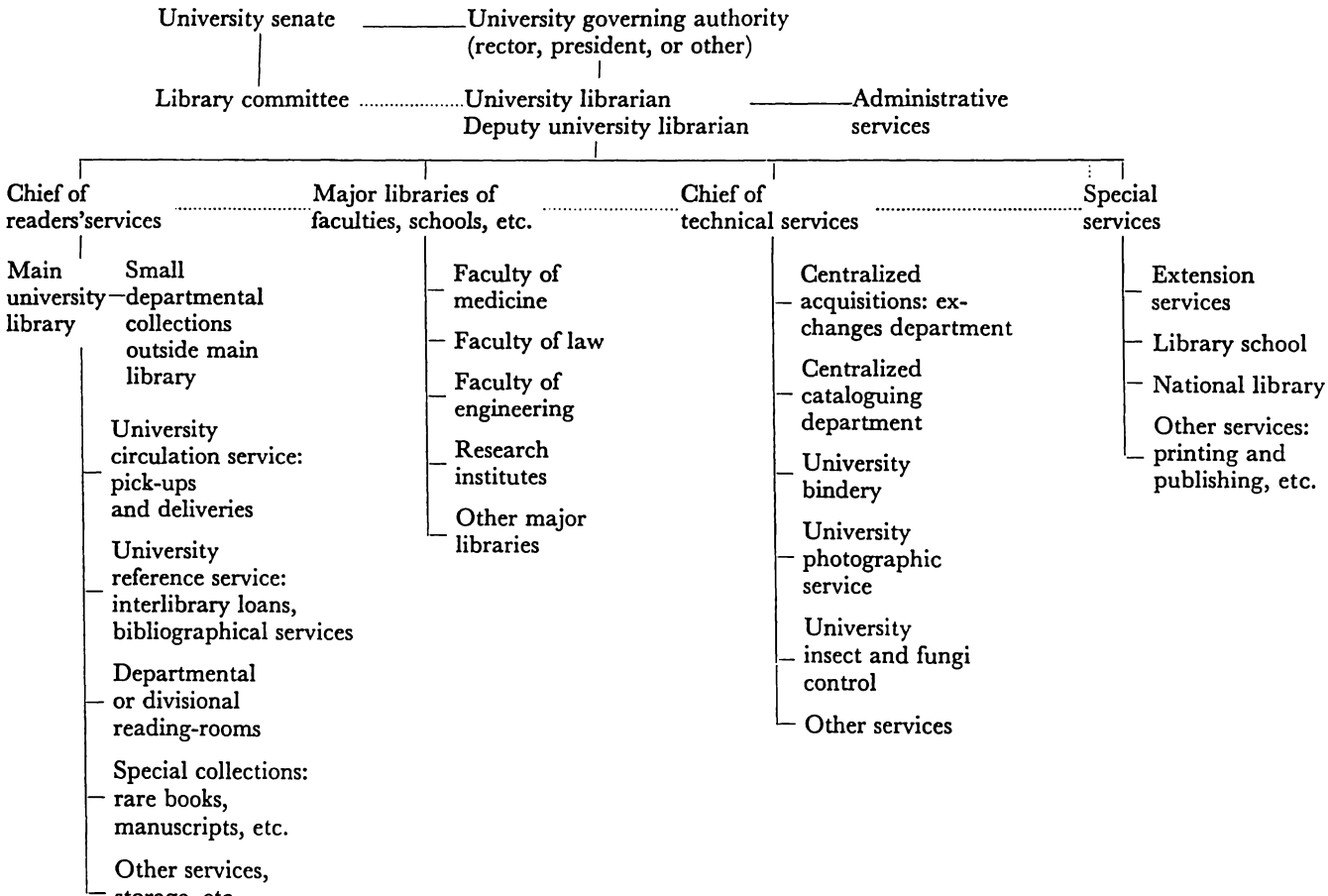

In contrast to libraries which are organized according to form of materials and have separate reading-rooms for books, periodicals, maps, etc., the subject division libraries disregard form. They bring together in one area all the materials representing their subject components. Thus, each division library will contain not only

books, but also journals, microforms, maps, charts, pamphlets and photographs—the whole range of library materials for the clientele to consult. These libraries are usually placed under the direction of librarians who have developed appropriate subject specializations and are equipped to offer reference and bibliographical services in depth, and to assist in building up the collections in collaboration with the faculty. This type of organization is regarded as having greater educational value than the traditional organization; it is also more expensive to operate. In comparison, however, with older forms of library organization which provide either within or outside the main library building a large number of separate departmental libraries, the subject division libraries are less expensive to operate. Grouping of related subjects in one area usually eliminates much previously necessary duplication of purchases; e.g., books and journals in biochemistry might be duplicated in separate biology and chemistry libraries but would not in a science divisional library which included both these subjects. Also, a single science division library would probably require far fewer personnel than many individual departmental libraries. New institutions which need to construct library buildings may find the divisional concept attractive.

Concentration of library resources and services in a single place may offer many benefits to the user: access to the total resources of the library, rather than a narrow segment; increased availability of expert assistance and special services; centralized and consolidated library catalogues and bibliographical collections; better facilities for study and research.

The libraries of professional schools such as law, medicine and engineering are usually regarded as integral parts of their respective schools. Unless the university library can offer superior resources and services in these areas, it should not attempt to change this condition. However, those libraries should be part of the university library system. Their holdings should be listed in the union catalogue of the main university library, and they should be invited to avail themselves of the technical and readers' services of the main library.

*A university-wide library system.* A university-wide library system which makes the total library resources of the university available for the benefit of every member of the university community should be a major objective of universities. A graphic suggestion for the plan of such a system is illustrated in Chart V. It should not be regarded as a prescription; each university must make its own plan. In such an organization, the university librarian would report to the head of the university and consult with a library committee of the university senate. He would have direct authority over all libraries


University senate
University governing authority (rector, president, or other)
Library committee
University librarian
Deputy university librarian
Administrative services
Chief of readers' services
Major libraries of faculties, schools, etc.
Chief of technical services
Special services
Main university library
Small departmental collections outside main library
University circulation service: pick-ups and deliveries
University reference service: interlibrary loans, bibliographical services
Departmental or divisional reading-rooms
Special collections: rare books, manuscripts, etc.
Other services, storage, etc.
Faculty of medicine
Faculty of law
Faculty of engineering
Research institutes
Other major libraries
Centralized acquisitions: exchanges department
Centralized cataloguing department
University bindery
University photographic service
University insect and fungi control
Other services
Extension services
Library school
National library
Other services: printing and publishing, etc.

and the ability to supervise and co-ordinate their activities. Reporting to him and to his deputy would be a chief of readers' services, a chief of technical services and the chief librarians of the major libraries of faculties, schools, and institutes. He would have either a supervisory relationship or advisory one with the directors of special services such as the library school, the national library and the publishing service, if any of these has been assigned or attached to the university library. The chief of readers' services would be responsible for readers' services in the main library; he would supervise departmental libraries outside the main library and have a consultative relationship with the major faculty, school and institute libraries. The chief of technical services would be responsible for providing all technical services to the main library and those that are required by the associated libraries. He, too, would have a consultative relationship with the faculty libraries.

The advisability of assigning to the university library the responsibility for conducting a library school or for acting as a national library is a matter for most serious consideration by university and national authorities. The permanent assumption of such responsibilities has important financial and administrative implications which the higher authority will need to consider.

## PLANNING LIBRARY DEVELOPMENT

The importance of planning has been emphasized in the preceding pages of this chapter; some of its practical aspects may be reviewed at this point.

*Short- and long-range plans.* Preparation of the budget is an important responsibility of the university librarian. The current operations of the library are usually budgeted on a yearly basis, a relatively short period. Long-range budgeting is an essential element of planning for future development. In planning for the future, concrete and reasonably attainable goals should be established. A new library building in two to three years might be one goal; the addition of 100,000 books over a period of four or five years might be another. The human, material and financial requirements for achieving these goals have to be identified and provided for. Planning for a new building may require the creation of a special budgeting and staffing plan covering several years. The goal of 100,000 new books may require not only the funds to pay for the books but additional staff to select and order and to catalogue, classify and prepare them for use.

In making long-range plans, recruitment and training of staff may be major difficulties in developing countries. Foreign experts are

often employed to assist in a development plan. They are brought in either at the level of the university librarian or at other levels to assist in planning, to advise in the selection and training of staff and to participate in the actual operation of the library until they can be replaced by trained local staff. Since training—especially if overseas study is necessary—may require two or more years, the expert's services may be required for this length of time.

A way to calculate the financial and staffing requirements of a long-range programme is to prepare estimates of progressive development over a period of four to five years. Assuming for illustrative purposes a situation in which the library is to receive a new building in three years, the services of a foreign expert during this period, and that it plans to build up its collections and staffs progressively over a five-year period, detailed estimates might be made on the basis indicated in Table 1.

Table 1. Personnel requirements for a five-year period[1]

| Department and position | Existing staff | 1st year | | 2nd year | | 3rd year | | 4th year | | 5th year | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | | a | b | a | b | a | b | a | b | a | b |
| Library administration: | | | | | | | | | | | |
| University librarian | 1 | | | | | | | | | | |
| Deputy university librarian | | | | | | 1 | 1 | | 1 | | 1 |
| Foreign expert | | 1 | 1 | | 1 | | 1 | | | | |
| Secretary | 1 | | | | | 1 | 1 | | 1 | | 1 |
| Readers' services: | | | | | | | | | | | |
| Chief | 1 | | | | | | | | | | |
| Reference librarian | | 1 | 1 | | 1 | 1 | 2 | | 2 | | 2 |
| Circulation librarian | | 1 | 1 | | 1 | | 1 | | 1 | | 1 |
| Clerk | 2 | 2 | 2 | | 2 | 1 | 3 | 1 | 4 | | 4 |
| Technical services: | | | | | | | | | | | |
| Chief | 1 | | | | | | | | | | |
| Catalogue librarian | | 1 | 1 | 1 | 2 | 1 | 3 | | 3 | | 3 |
| Clerk (cataloguing) | 2 | 1 | 1 | 1 | 2 | 1 | 3 | | 3 | | 3 |
| Acquisition librarian | | 1 | 1 | | 1 | | 1 | | 1 | | 1 |
| Clerk (acquisition) | 1 | 1 | 1 | | 1 | 1 | 2 | | 2 | | 2 |
| Photo-technician | | | | | | 1 | 1 | | 1 | | 1 |
| Assistant photo-technician | | | | | | | | 1 | 1 | | 1 |
| Bindery technician | | | | | | 1 | 1 | 1 | 2 | 1 | 3 |
| Maintenance, custodial workers and messengers as required | | | | | | | | | | | |
| TOTALS | 9 | 9 | 9 | 2 | 11 | 9 | 20 | 3 | 22 | 1 | 23 |

1. Existing staff, 9; projected new staff, 23; total, 32.
a = new personnel b = total personnel

Beginning with a total staff of nine persons, the plan calls for yearly additions which reach a peak in the third year when the new building is ready, and taper off sharply thereafter. In the first year of the development programme, the foreign expert is appointed for a three-year term. (He assists in planning the building, etc.) One reference librarian, one circulation librarian, a cataloguer, an acquisitions librarian and four clerks are appointed in the same year. They will assist in a large-scale buying and cataloguing programme. In the second year, an additional cataloguer and a clerk are provided to keep up with the incoming books. In the third year, by the end of which the new library building is scheduled to be ready for use, further additions are made to provide for increased acquisitions and new services. A deputy librarian is appointed. Additional maintenance and custodial workers are appointed. At the end of the third year, the foreign library expert has completed his term. In the fourth and fifth years, minor staff additions are made. By the end of the five-year period, the total staff has increased to thirty-two and a new planning stage can be implemented.

NOTES

1. Adapted from AMERICAN LIBRARY ASSOCIATION. BOARD ON SALARIES, STAFF AND TENURE. *Classification and pay plans for libraries in institutions of higher education.* 2nd ed. Vol. III: *Universities.* Chicago, American Library Association, 1947. 125 pp.
2. TAUBER, M. F. *et al. Technical services in libraries.* New York, Columbia University Press, 1953. 487 pp. (Columbia University studies in library service, No. 7.)
3. URWICK, L. *The elements of administration.* New York, Harper, n.d. 132 pp. See p. 37.
4. ibid., pp. 39–40.
5. WHEELER, J. L.; GOLDHOR, H. *Practical administration of public libraries.* New York, Harper & Row, 1962. 571 pp. See p. 175.

CHAPTER V

# STAFF

The development of university libraries requires above all the intellectual and professional services of men and women who have been trained for precisely such purposes—expert librarians. Unfortunately, there is a great shortage of well-trained librarians in developing countries; it is quite severe in some highly developed countries as well. Consequently, it is in part a manpower problem for universities and governments to solve and not one for the library profession alone. The earlier discussion of university library government and policy suggests that the university and the government, individually and jointly, can set standards and create conditions to encourage highly qualified graduates to enter the library profession. This chapter will deal with the selection, training, academic status and professional development of the library staff and related subjects.

## SELECTION OF A UNIVERSITY LIBRARIAN

The selection of a highly qualified university librarian is of central importance. The university should therefore make an appointment only after it is satisfied that the candidate is eminently capable of performing the complex role to which he will be assigned. Expediency and a desire to acquire or enhance prestige may suggest the selection of a distinguished scholar or an outstanding scientist. But such a selection 'cannot be too strongly condemned when the individual concerned is without familiarity with modern librarianship and is not in any sense a librarian' [1]. Nor should the university be misled by assuming that it does not require a highly competent person because it is small. The university may be small, indeed, but if it aims to achieve excellence in its faculty and in teaching and research, it can be certain that its library will eventually grow large in size and complexity. Moreover, it cannot be assumed that the success which some librarians without formal training have achieved in building good, even distinguished, libraries implies that formal training is unnecessary. Formal training in the most literal

sense may not have been required by some individuals, who, after a long apprenticeship in learned libraries and many years of close identification with library administration have reached the point where their accumulated experience and contributions to librarianship have established them in positions of authority and respect. Some of the great librarians of earlier times were scholars without formal training in librarianship. They achieved distinction, however, because they 'studied the problems of librarianship and contributed to library literature and thought in order that they might thereby promote and enrich scholarship generally' [2].

The tradition of thorough training for university librarianship is well established in Europe and in North America; it is increasingly influencing the university library scene in other regions.

It may be difficult to find candidates whose academic and scholarly qualifications are sufficiently high to qualify them for admission to post-graduate schools of librarianship. But it is not impossible. In every country, there are candidates whose intellectual ability, undergraduate record, interest in the objectives of the university, and administrative and leadership potential warrant their selection for advanced academic study and subsequent professional training and experience. If professional training is unavailable within the country, the candidate may have to be sent abroad.

While its librarian-elect is undergoing further education and training the university may find it advisable to bring in a foreign library expert to organize and administer the library. In such an event, it would be desirable for the expert's term of employment to overlap the return of the university librarian for a period long enough to provide an orderly transmission of authority and a gradual, progressive assumption of full responsibility by the university librarian. In some situations it has been found helpful to bring in the expert before the selection of the university librarian is made.

In some of the old universities with highly decentralized libraries the selection of a highly qualified candidate for chief university librarian may not be as difficult as creation of suitable conditions in which he can operate effectively in the best interests of the university.

Whether he is appointed to direct the establishment and operation of a new library or to co-ordinate and improve the functioning of an old one, the university librarian must have the authority, and the staff with which to do his job. Selection, training and supervision of staff are among his major responsibilities. Where he cannot be given full authority for selecting faculty or departmental librarians, he should certainly be consulted in the matter, when he is expected to work with them and to co-ordinate their services. He should have full authority in the main university library, in any case.

The nature and size of the staff will be affected by such factors as the number of students and faculties and other clientele the library may be expected to serve, the size and design of the main library building, the character and condition of the library collections, the number of departmental, faculty and institute libraries under the control of the main library, the teaching methods of the faculty and the number of hours during which the library is open for service.

It is necessary to establish some guide-lines for staffing to ensure adequate coverage in the first place, and to establish a basis for planning and financing. Librarians and governmental authorities have made many efforts to establish valid and reliable staffing formulas. These are usually based on a classification of professional and non-professional positions and a determination of the number and grade of positions required in relation to the size and nature of the clientele to be served. Position classification, alone, is widely used as a basis for setting salary schedules and standards.

The Ministry of Higher Education of the Soviet Union specifies the nature and size of the professional staffs of libraries in higher educational institutions in its library regulations. The Model Table of Organization in the regulations specifies four ranks of librarians —chief librarian, division chief, senior librarian, librarian—and the number of persons in each rank is directly related to the size of enrolment. For an institution with an enrolment of 1,001 to 1,500 students, the library is entitled to two senior librarians and five librarians, in addition to the chief librarian. When enrolment reaches the 1,501 to 2,000 range, a division chief, an additional senior librarian and two additional librarians are authorized [3]. The table makes no provision for clerical, technical, custodial and other non-professional staff; presumably, such provisions exist.

In 1943, the American Library Association (ALA) published a comprehensive set of classification and pay plans for libraries in higher educational institutions. It was designed primarily as a set of minimum standards for the guidance of small and medium-sized institutions. Very large institutions were regarded as being too complex and too highly individualized to permit the application of a standardized pattern. A basic feature of the plan was the classification of libraries in terms of a weighted service load, on the assumption that the clientele of the library would require more or less service depending on their educational levels and functions. The second edition of the plans issued in 1947, gives the basis for calculating service load as follows:

Each under-class (undergraduate) student other than honours students is counted as 1 unit.

Each upper-class (undergraduate) student other than honours students is counted as 2 units.
Each honours student is counted as 3 units.
Each graduate student is counted as 4 units.
Each faculty member is counted as 5 units. [4]

Assuming that the university has an undergraduate enrolment of 500 in the first two years of its curriculum, 300 in the upper two years, 50 honours students, 50 M.A. degree candidates and 40 faculty members, the library would have a total service load of 1,650 units for its clientele of 940 persons. According to the plans it would require a professional staff of six, including the university librarian and a clerical staff of two to four persons. (The plans recommend that 40 to 60 per cent of total staff hours shall be in the non-professional service.)

The ALA plans are helpful indicators of good personnel administration especially in regard to position description and classification but they have been criticized in some other respects. It is said that the computation of the service load does not alone provide a satisfactory basis for determining staff requirements. It has also been suggested that inadequate provision is made for clerical and other non-professional personnel. The ALA College Library Standards, 1959, reflect these criticisms by indicating that while the size of the institution is an important factor it is only one of many which must be considered, and by taking the position that 'as the size of the library increases, the ratio of the non-professional to the professional staff should be larger' [5]. A. L. McNeal recommends a ratio of two non-professionals to one librarian: 'One professional staff member should be able to supervise or direct two non-professionals.' [6] Evidence is accumulating to confirm McNeal's point. Indeed, there is a noticeable trend to even higher proportions of non-professionals to professionals in large libraries.

Emphasis on desirable proportions of one type of staff to another may appear irrelevant in countries which have an extreme shortage of trained librarians and a comparatively plentiful supply of clerical and other non-professional personnel. Producing a supply of trained librarians may seem to be the main problem. It is, indeed, but it cannot be separated from the related problems of organizing and training a supporting staff of clerks, typists, stenographers, book-keepers, binders, printers, photographers, messengers, desk and stack attendants, maintenance and custodial workers and others. For it is known that in every type of library a large proportion of the work is clerical and custodial, rather than professional in nature. An adequate non-professional staff, properly supervised, will ensure greater economy and efficiency of service, and the full utilization of the professional staff in the interests of teaching, learning and research.

*Professional staff.* The university librarian should be authorized to select the staff in accordance with established regulations setting forth minimum qualifications for appointment. Good staff selection is essential for effective library service, just as it is for effective teaching and research. Senior staff, such as heads of major divisions and departments of the main university library and heads of faculty, college or institute libraries, should have these minimum qualifications: (a) a broad university education; (b) a graduate degree in librarianship or a comparable qualification in the form of membership in a library association which sets a high standard of professional training for admission; and (c) several years of appropriate professional library experience. In addition there may be further qualifications required for particular positions. Junior professionals should possess at least a good undergraduate degree plus a graduate degree in librarianship or an equivalent qualification as indicated above. For all professional positions, it is desirable to have a description of duties as well as qualifications.

*Non-professional staff.* The selection of non-professional staff is also important. The university librarian should therefore be authorized to participate in the selection and appointment of technicians such as photographers, binders, printers, etc., and clerical workers. Unskilled personnel—messengers, attendants, cleaners—and building maintenance employees are usually selected by a university administrative official. Here, too, it is desirable to have position descriptions and standards for appointment.

## PROFESSIONAL TRAINING OF LIBRARIANS

The scarcity of trained librarians in developing countries makes appropriate the inclusion of material on professional training. The general objectives of training for librarians should be to acquaint the student with: the universe of knowledge in all of its forms; the historical as well as contemporary role of libraries as agencies for the selection, acquisition and organization of knowledge for effective use; the principles and practices of librarianship and their applications; and the philosophy of librarianship in both its historical and contemporary aspects.

The well-taught student of librarianship will be able to contribute to the teaching and research functions of the university library and to the advancement of librarianship. In this context the librarian's professional objectives are similar to those of other learned professionals, that is to transmit or apply the knowledge he has acquired and to advance the knowledge of his field.

It would follow then that the candidate for library training should be a well-educated person. He should also be acquainted with major aspects of the history of his own country and region. He should know the major language and literature of his country and he should also have mastery of at least one modern language other than his own. In bilingual or multilingual countries the candidate's second language should be the one that is most commonly employed in teaching, government and diplomacy. The greater his knowledge of modern languages the more effectively can he perform his professional role. Candidates who do not possess these qualifications should acquire them either before or during their professional education.

*The library school curriculum.* The almost universal 'core' of library science curricula consists of systematic studies in the following four areas: cataloguing and classification; bibliography and reference materials; book buying and book selection; library organization and administration [7]. Cataloguing and classification are regarded as fundamental disciplines; the former deals with the identification and bibliographical description of books; the latter with the subject analysis of their contents. Bibliography and reference materials are likewise fundamental subjects of study. Students develop an acquaintance with the art of bibliographical description and with major bibliographies. They learn to use reference works and how to provide reference and bibliographical assistance.

The study of bibliography and reference materials is extremely important for all librarians, but especially so for those who will work in the libraries of developing countries. In countries with meagre library resources, bibliographies and other reference works are absolutely essential devices for identifying and locating authoritative information and publications required for teaching and research in every field of knowledge.

The selection of books and their acquisition are studied from several viewpoints. In poor countries a thorough knowledge of the principles of selection and the best methods of acquiring books is essential, for books may be very difficult to obtain because of transportation and communication conditions and because book funds are usually not abundant. It is all the more necessary, therefore, to evaluate book needs objectively, and to select materials critically.

The organization and administration of libraries both generally and with specific reference to particular types of libraries is an integral part of the library education programme. While every student will not receive an administrative post upon graduation, all are usually required to learn sound principles of library administration. Every librarian can profit by good training in those areas of professional competence.

Advanced courses in the curriculum may include studies in classification theory, information documentation, scholarly bibliography, manuscripts, archives management, palaeography, library buildings, and in the bibliography of special subjects such as medicine, law, art, or the physical and biological sciences.

The length of the training period varies considerably from country to country but the general consensus indicates that a minimum of one full academic year of study on a graduate level is essential for the basic training of university librarians. Several schools in the United States of America offer a doctoral degree; India and the United Arab Republic offer master's and Ph.D. programmes. New advanced level programmes have recently begun, or will be instituted shortly, in such widely separated places as France, Yugoslavia, Taiwan, United Kingdom, Nigeria, Poland and the Netherlands [8].

Newly developing and other countries in which professional training in librarianship was virtually unknown before the last world war are now providing their own training programmes and relying less on overseas schools. The new schools and institutes usually adapt their courses to meet the particular needs of the countries or regions in which they are located. Some schools, in countries formerly associated with the United Kingdom, have designed their programmes to prepare students for the examinations of the Library Association.

In countries with poorly developed libraries, it would be desirable to send selected candidates for very senior positions in the university library to overseas library schools for training, observation and experience. Experience in a well-organized and well-stocked library under competent guidance can be an invaluable element of education for librarianship. High academic standards should be set and maintained for the selection of candidates for training abroad. It is essential that the candidate has excellent knowledge of the language of the country to which he will be sent; poor language facility is one of the chief obstacles to a successful educational experience abroad. Also, the candidate should be permitted ample time to pursue his studies. Finally, he should be strongly motivated towards librarianship.

## ACADEMIC STATUS FOR THE PROFESSIONAL STAFF

The demand for university librarians, like that for other academic personnel, is developing at a fast rate, mainly because of the phenomenal increase in enrolments, the rapid growth of new institutions of higher education and the need for more personnel who can collect and organize for effective use the vast and rapidly growing

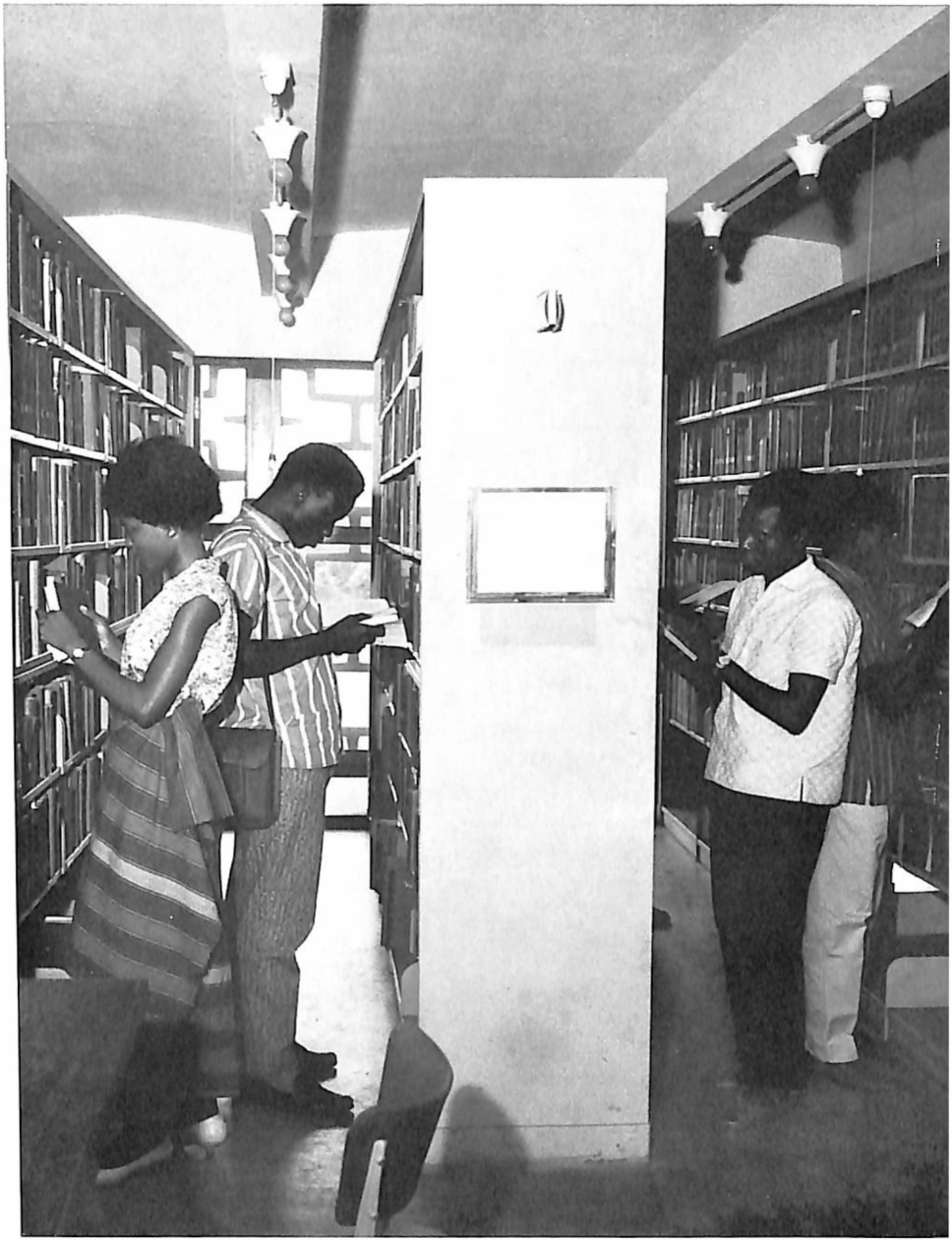


Photo: Unesco/Almasy-Vauthey

1. Open access to books. The University Library, University of Ibadan (Nigeria).

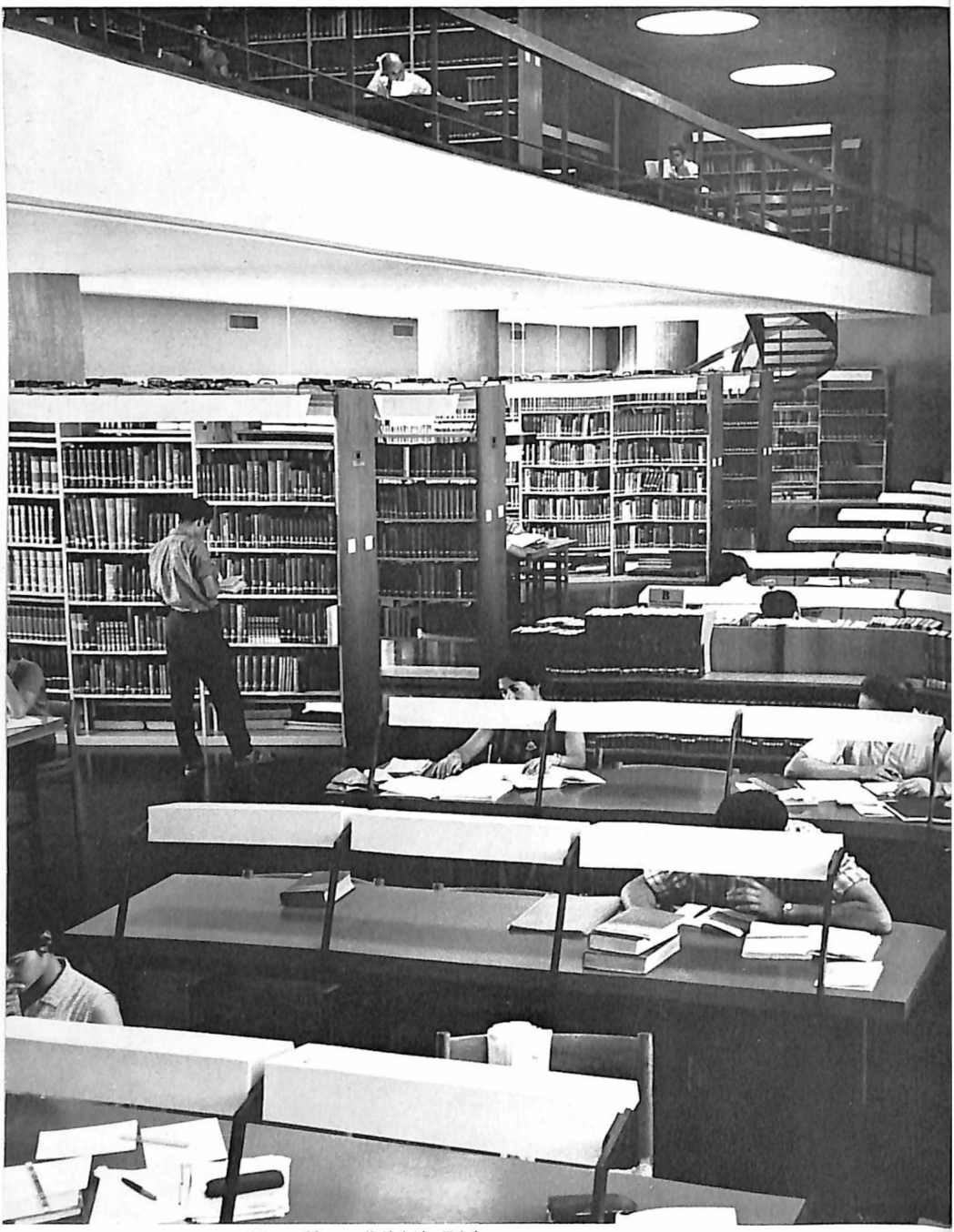


Photo: Unesco/Michèle Edelmann

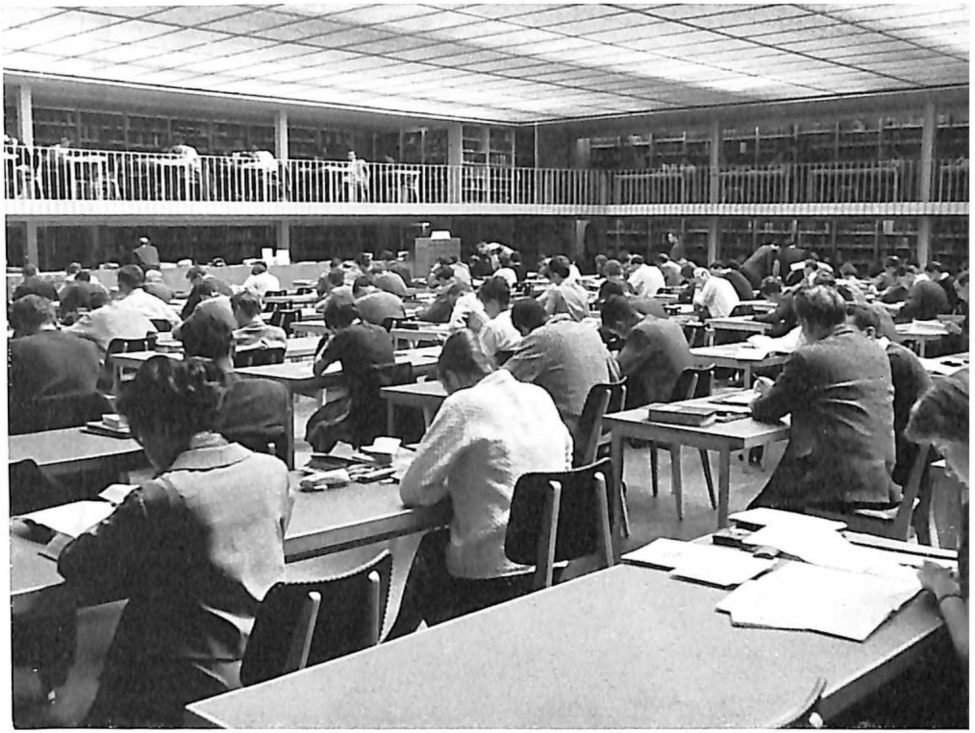


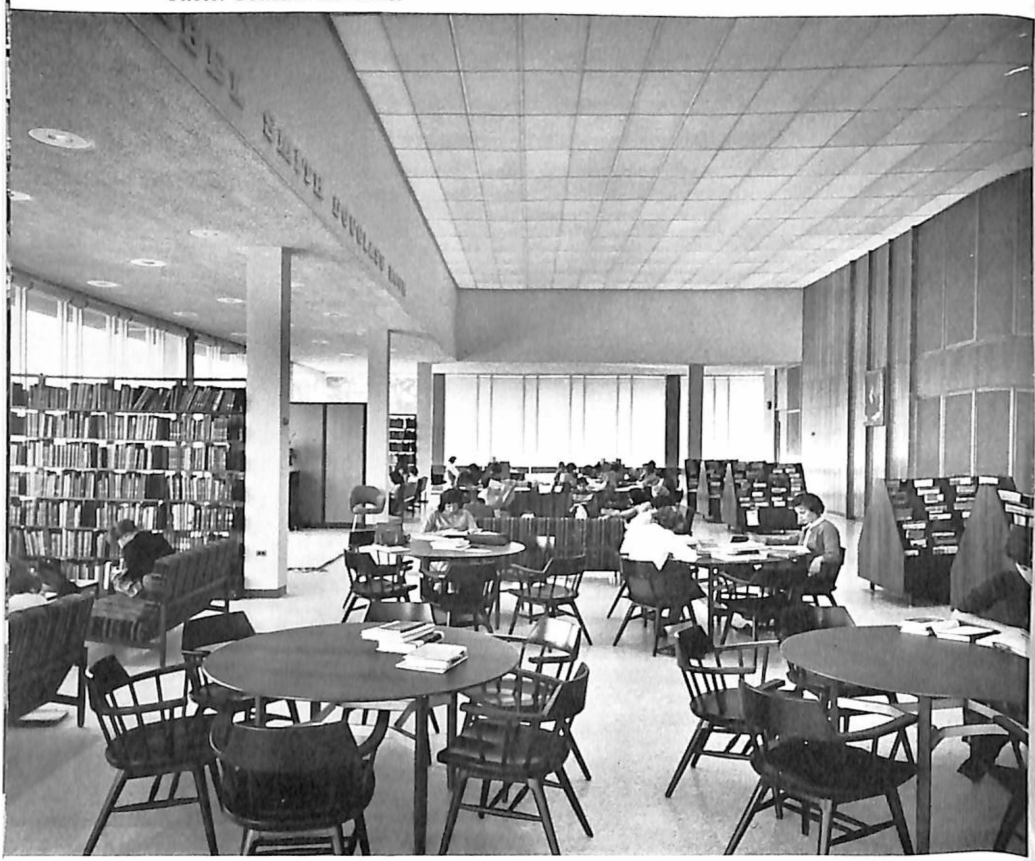
Photo: Unesco/Gisèle Freund

III. Open access to books. The reading-room of the Free University of Berlin.

II. Open access to books. The library of the Hebrew University (Israel).

IV. Open access to books. A reading-room in Douglass College Library, Rutgers University, New Brunswick, N.J. (United States). Architects: Warner Burns Toan Lunde Inc., New York.

Photo: Gottscho-Schleisner



store of the world's knowledge. But in the case of the librarians there are other reasons as well. Among these, the modern concept of the university library as an active instructional agency has gained many adherents, with the result that contemporary libraries require more well-educated librarians than did their older counterparts.

Academic status implies formal recognition of professional librarians as members of the instructional and research staff in the form of assigned or equivalent faculty ranks and titles along with comparable salaries and privileges.

The lack of such recognition is one of the major obstacles to recruiting a competent library staff. The best qualified university graduates—who ought to be sought out for training in librarianship—will not be attracted to the field unless they can see in it an opportunity for a respectable and personally satisfying career. This was a major conclusion of the university section of the Regional Seminar on Library Development in South Asia in 1960. The seminar suggested that university authorities adopt the schedule shown in Table 2 [9].

Table 2. Schedule

| Description of staff member | Nature of duties | Equivalent to faculty post and enjoying scale of |
|---|---|---|
| Librarian | Supervisory | University professor |
| Deputy librarian | Senior professional | University reader |
| Assistant librarian | Junior professional | University lecturer |
| Senior library assistant in any section | Professional assistant | Assistant lecturer |
| Technical assistant | Professional assistant | Assistant lecturer |

This is only one of many different approaches to the provision of academic status. Robert B. Downs, Director of the University of Illinois Libraries (United States) describes another, in his experience with the reorganization of the professional library staffs of his university in connexion with the transfer of the staffs in 1944 from civil service administration to the academic staff of the university [10]. All professional positions were classified in terms of their educational and technical character and placed in the academic categories of assistant, instructor, assistant professor and associate professor. Librarians who taught were privileged to use their academic titles, but all who were placed in an academic rank were entitled to the salary of that rank. In regard to retirement benefits, tenure, leaves for illness and sabbaticals, librarians received the

same privileges as the teaching staff; for some purposes, such as administration of rules for work schedules, librarians were covered by the rules for the working conditions of administrative officers. The examples that have been cited here suggest ways to provide academic status; each university will need to make its own provisions in the light of its traditions, the attitudes of the faculty and its relation to outside governmental authority.

## PROFESSIONAL DEVELOPMENT OF THE STAFF

Giving academic status to the professional library staff will not automatically ensure their effectiveness; it should be coupled with full utilization of the staff in work which requires professional rather than clerical training, and with conscious efforts to promote and facilitate their professional development.

In the lending service, for example, the librarian should decide the loan policy and direct loan operations. The actual issue of books, however, can be performed by clerks. The selection of books for purchase and the decision about where to place a book order is a librarian's function; the typing of the order is a typist's job. Misuse of the librarian's talents by assigning him to duties which can be performed adequately and at less cost by clerical and technical assistants is not only inefficient and unduly expensive but it prevents him from performing fully his educational and professional functions. It also tends to degrade him in his own eyes and in those of the faculty, who, in such circumstances, are likely to have little respect for him as an academic colleague.

With approval and encouragement from the university, the university librarian can employ many devices to enhance the professional development of his staff.

*Staff orientation.* New staff members are presumed to have a basic knowledge of librarianship but it is necessary to provide them with specific information and guidance with respect to the organization, resources, services and facilities of the library in which they will serve. Such orientation can be provided in a few days or over a period of several months. It may involve tours of the library, lectures by department heads, systematic study of the staff manual and other publications of the library, and a planned series of experiences in each department of the library.

*Staff manual.* The staff manual can be a highly useful administrative device for orienting and training new staff and for ensuring uniform application of policies and rules throughout the university library system. Some of the best manuals are quite comprehensive. They

may provide: detailed descriptions of methods and practices in all library departments; administrative policies and regulations relating to appointments, salaries, hours of work, promotions, leaves of absence, staff meetings, etc.; descriptions of library policy with respect to acquisition, lending of books, provision of reference and bibliographical services, attendance at professional meetings; samples of library forms with instructions for using them; lists of library publications and guides to their preparation; and many additional subjects that relate to the programme of the library. Two good publications of the comprehensive type are published by the Enoch Pratt Free Library, a large public library in Baltimore, Maryland (United States)[11]. While designed for public librarians, the scope and nature of these publications are suggestive of the type of manual which can be produced for a university library.

*Staff meetings.* The staff meeting is a good device for establishing and maintaining good communication between the university librarian and his staff and among the staff members. Depending on the size of the staff and the location of the university library and its branches the meetings may involve all professional members or be limited to department or division heads. While the university librarian may find it convenient to have frequent meetings with his senior staff it is nevertheless desirable to hold a meeting of the entire staff at least once a semester.

General meetings are useful for informing the staff about important new university and library policies and programmes, discussing problems of library-wide significance, explaining new procedures, and for affording opportunities for the staff to listen to lectures by visiting librarians, university officials, and faculty members.

New staff members, in particular, may profit by attending well-planned staff meetings; for them, it is an opportunity to view the staff as a whole and to establish a feeling of professional association. If meetings are impossible to arrange or infrequently held, a staff bulletin or newsletter may be found useful for maintaining good communication.

*In-service training.* In a sense, in-service training is continuously provided in the relations between senior and junior staff members. It is most effective, however, when it consists of a planned sequence of experiences designed to introduce new staff, non-professional as well as professional, to their particular jobs and to assist their further development. In some libraries it can be an effective way to encourage staff to prepare for qualifying examinations which may lead to more responsible assignments and promotion.

*Professional activities outside the university.* The professional staff should be encouraged to take part in meetings of professional library organ-

izations, to visit other libraries, bibliographical and documentation centres, both within and outside the country if possible. Through such means, individual members may improve their professional background and enhance the value of their services to the university library. Provision should be made when possible to permit their attendance at advanced courses in library science and concrete recognition in the form of salary increases should be given for successful completion of such work.

*Teaching and writing.* Qualified persons with aptitude for teaching can be given opportunities to teach library science or other subjects for additional compensation, if conditions warrant. Care needs to be taken, however, to avoid overloading them with teaching assignments. Heavy teaching loads tend to deprive the library unduly of their services, and it is doubtful in any case whether they can be effective and helpful to their students in such circumstances.

Writing or translating that is directly related to the interests and needs of the library profession should be strongly encouraged especially in countries where there is a scarcity of professional publications in the indigenous language. But scholarly publication that is unrelated to the library should be regarded in the same way as teaching.

## PROMOTIONS

The criteria and opportunities for promotion of librarians should be similar to those for the teaching members of the faculty. Advanced graduate studies and degrees, and scholarly and scientific publication are the usual criteria for teacher's promotions. For librarians, however, it is desirable to be flexible and understanding in applying these criteria. Librarians usually do not have much time for scholarly or professional publication, although many do find it possible to obtain advanced academic or professional qualifications. On the other hand, librarians are frequently moved to positions of greater responsibility within the library organization as their experience and performance improve.

## WORKING CONDITIONS

The library should provide adequate working conditions not only to ensure the physical well-being of the staff while they are in the library building, but to provide them with a reasonable amount of leisure for scholarly or professional writing, advanced study, physical relaxation and recuperation, with assistance in illness, and security in retirement.

Within the library building it is customary to provide in new

buildings adequate, well-lighted and ventilated work-rooms, suitable furniture and equipment, and comfortable staff lounges. In tropical areas, air-conditioning is increasingly installed for the comfort of all who use the building as well as for the preservation of the collections and equipment. Good physical conditions are conducive to efficient work and high morale. Adverse conditions often have an opposite effect.

*Hours of work.* Hours of work vary widely from region to region depending upon climatic conditions, local customs, and university and government regulations. Generally, however, libraries are kept open for relatively long periods daily, in order to permit students and faculty members to use them for study and research. Also, the library is usually a year-round activity, unlike the teaching programme. It is necessary, therefore, to provide adequate staff coverage throughout the year, except that it will vary in degree according to whether classes are in session or not. Librarians, consequently, are expected to carry reasonably full daily schedules.

*Vacations and other leaves of absence.* Liberal vacations should be provided for librarians, but it may be necessary for them to take their leaves at different times from the teaching faculty in order to provide for continuous operation of the library. Where sabbatical leaves are available, librarians should be eligible for them. Sick leave, with pay, as well as national and local holidays, should also be given to librarians. In all instances, provisions need to be made for adequate coverage of library services during the absence of staff members. This may necessitate the provision of supplementary funds by the university.

*Hospitalization and retirement.* As members of the instructional staff, librarians should enjoy the same privileges with respect to hospitalization, medical services and retirement as those accorded to instructional personnel. These privileges vary from country to country but they may include free medical service and hospitalization, dental services, membership in a subsidized medical plan and pensions on retirement. Some countries provide entirely free pensions. In others there are provisions for joint contributions to a pension fund by the university or government and the individual staff member.

### STUDENT ASSISTANTS

Undergraduate and graduate students can be a good source of supplementary clerical and technical assistance for the university library. Some libraries rely upon them quite heavily. Students can be used for a variety of simple jobs, such as delivering books from the

stacks and returning them to the shelves; attending loan desks; typing, pasting and labelling in the cataloguing department; messenger service between the library and other buildings; simple book mending and repair work; operating duplicating machines, etc. The library is usually expected to pay them the prevailing rate of pay at the university.

Student aides can be a good source of recruits for library science study and some develop into excellent clerical assistants. In general, however, they do not represent a reliable source of assistance. Certainly they should not constitute the sole supporting force for the professional staff. The chief reliance should be placed on full-time clerical and technical workers who, after receiving adequate training require far less supervision than students, and tend to remain with the library for relatively long periods of time. Student aides are most helpful as supplementary rather than principal sources of assistance.

NOTES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CHAPTER VI

# BUILDING THE COLLECTIONS: ACQUISITION POLICIES AND PROCEDURES

To be effective, the library must provide books and other library materials that are appropriate to the teaching and research requirements of the university. The principle of appropriateness implies that selection shall be deliberate and discerning; that it shall be planned in accordance with well-defined policies and procedures. The university librarian and his professional staff are responsible for selection. Indeed, 'of all their responsibilities this is the greatest—to see that, as far as their resources allow, the right books and periodicals are being added to the library' [1].

It is essential that adequate funds be provided and that restrictions on imports and currency and the cumbersome procedures which now often severely limit the acquisition of books and other library materials in many countries are removed or modified. These are crucial obstacles to library development, whose serious implications have been discussed widely in recent years. Representative of such discussions are the observations of the university librarians who participated in the South Asia Regional Seminar on Library Development, in October 1960: '*Acquisition of foreign materials.* Serious concern was felt about the obstacles which delay or impede the importation of books and journals from foreign countries; the most important of these are: (a) faulty book selection due to failure of libraries to possess and use bibliographies; (b) foreign exchange restrictions which prevent many libraries from ordering books from foreign suppliers; (c) procedural difficulties involved in import licences, customs clearance and remittance of payment for material received; (d) the lack of sufficient funds on the part of libraries. . . . To remedy the situation, there should be simplification of procedures, including customs regulations and remittance of money for the import of reading materials, particularly periodicals and microfilms. Governments concerned should consider granting open general licences to libraries and educational institutions, the amount of exchange to be released to be based on the amount provided in the book budgets of such institutions.' [2]

Assuming that the university gives the library responsibility and authority for book selection, the library must develop a close working relationship with the teaching staff—its natural allies—in order to make fullest use of their specialized subject knowledge. Readers should be encouraged to make recommendations for additions to the collections for during the course of their investigations in the library they are likely to discover deficiencies which ought to be brought to attention. Teachers, however, are not always sufficiently free to devote time systematically to selecting library materials and readers, most of whom will be students, are a transient group. It falls to the librarians, then, the permanent secretariat of the library, to carry out this activity continuously, systematically, and in accordance with acquisition policies which have the approval of the faculties and the administrative authorities.

A faculty library committee composed of persons with broad, rather than narrow or sectional, interests in library development, can be very helpful to the library in formulating acquisition policies and programmes. Such committees may exist on all levels from the departmental to the university-wide. Once the policy is established and the buying programme is initiated, the university librarian should control acquisitions accordingly.

## FACTORS AFFECTING BOOK SELECTION AND ACQUISITION POLICY

Factors which affect the organization and administration of the library were discussed in previous chapters; these also affect book selection and acquisitions policy. The size of the university and the geographical location of its faculties may require a high degree of duplication, even of multiplication, of purchases of individual titles. A university with a large enrolment is likely to have a large faculty, and to offer, therefore, many specialized courses, each of which will have its own library needs. A small institution with a more limited programme will have fewer needs than the large one. But all higher institutions, regardless of size, need a good basic collection of books and journals. Referring to African university libraries, H. Holdsworth offered the opinion 'that under African conditions and regardless of the number of students (usually small) a university library does not begin to be really effective either in range or in depth with a stock of less than 100,000 volumes' [3]. This may be regarded as a very modest figure.

The nature of the existing collections and availability of other library resources through co-operative arrangements will affect

selection and buying policy. Co-operative arrangements, being two-sided in nature, may require that the university buy materials in a subject area in which it has no particular interest at the time, but which concerns a neighbouring university, in exchange for the opportunity to borrow essential books on other topics from its neighbour.

The curriculum and the characteristics of teaching and research at the university are fundamental factors. Each subject in the curriculum requires its own books and journals. Some require a variety of additional library materials.

The nature of teaching and research in a particular institution has a direct effect on library needs and use. Lecture-textbook courses make the smallest demand on the library unless they also require extensive reading and written reports from the students. Seminars, tutorials and other teaching methods which require extensive individual study and written work of students call for rich library collections. Graduate studies and research demand extensive collections of secondary as well as primary source materials.

Future development plans of the university can affect book selection and acquisition directly. A decision to unify previously dispersed faculties by bringing them together in a single place such as a university city may result in a plan to unite their libraries in a new central building. This could have a profoundly beneficial effect on the quality of library holdings and future buying policy could be affected accordingly. A plan for the gradual addition of new faculties or schools over a period of years, with provisions for building library collections in advance would give a strong sense of direction to a library buying programme and provide the library with an opportunity to make selections and purchases in an orderly and discriminating way.

The degree of financial support that can be provided is central. Expenditures for library materials should be large enough to provide adequate materials for every subject in the curriculum and for every research programme that is sponsored by the university. If the university does not receive adequate funds for this purpose, or if it cannot provide them from its own resources, it may be compelled to curtail some of its teaching or research activities and to defer the introduction of new programmes.

## SELECTION POLICIES

Most university libraries tend to place the needs of instruction before those of research in selecting books for purchase. But it is impossible to draw sharp lines of separation between the two needs. The books used by undergraduates may be used just as well by

graduate students and researchers; those required by the faculty for their research may also be helpful in teaching. For undergraduate learning and teaching it is not difficult to select materials; major difficulties are encountered in providing for research workers. In a small university with largely undergraduate programmes and modest research activities, the library can learn about the extent of the curriculum and the nature of the research that is being carried on, and can then plan its acquisition programme accordingly. In a large university, however, the library may find it quite difficult to obtain detailed, significant information. Danton, says in this connexion: 'The university administration, following consultations with, and advice from, appropriate academic groups, should provide the library with an official statement of policy, in some detail, as to the institution's present and probable future program of teaching and research.' [4] This kind of information is truly fundamental to all types of library planning—for buildings and staff, as well as collections. No long-range planning is possible without it.

Many basic decisions need to be made in the course of defining the selection policy. Questions like the following need to be answered: what should library policy be with respect to foreign books? How shall funds be divided between current and older materials? Should the library purchase textbooks; rare books; popular works unrelated to university programmes? What emphasis should be given to research materials, to the purchase of materials in micro-fac-simile and related forms?

*Foreign books.* It would seem that any university, regardless of the country in which it exists, would need to have access to major works in one or more of the principal modern languages. In a sense, it has no choice, if it aims to acquire, transmit and advance knowledge in some of the important fields of modern learning and research. The library, accordingly, must select and acquire materials for each subject of university interest without primary regard to language. It will naturally be guided by the foreign languages most commonly known in the country, in making its choices. Policy in regard to emphasis on acquisitions of foreign-language material should be clearly defined after thorough consideration of present and potential needs.

*Current versus older materials.* The small university with limited graduate programmes will probably want to emphasize current over older materials in its library and to assure itself that such older materials as are purchased are likely to be used. This implies critical selection based upon anticipated use. Current publications are not easy to obtain by countries which are distant from the principal centres of the book trade, but out-of-print books and sets of

journals—two forms of 'older' materials—are even more difficult. Co-operative acquisitions may supply an answer to the problem of obtaining older materials. If coupled with generous interlibrary loans such co-operation can be very beneficial.

The university which offers graduate work on the doctoral level and sponsors post-doctoral research requires large, comprehensive collections. It will collect current works with an eye to future as well as present needs [5]. Like the small library, the large one should avoid duplicating unnecessarily the holdings of neighbouring libraries and it should seek out opportunities for co-operative selection and buying, as, however large it may be, it cannot expect to achieve equally comprehensive coverage in every field.

Danton's '"Ideal" book selection policy', while designed for large university libraries with extensive graduate and research programmes, offers some wise suggestions which may interest small libraries, in this connexion [6].

*Research materials.* Research materials may be considered apart from 'older materials' in that they are not necessarily old, but may consist of extensive collections of recent publications. This is a question of emphasis which is related to the particular research programmes of the institution. If it is sponsoring such programmes it is obliged to provide the materials they require.

*Textbooks.* In countries where textbooks are expensive and difficult to obtain the university library will be under pressure to buy multiple copies. Such pressure should be resisted as diplomatically as possible since a diversion of substantial funds to this purpose will result in a reduction in subject coverage which will be harmful to teaching and research and, therefore, to the best interests of students and faculty. It is more appropriate for the university or the government, or perhaps for outside agencies to assist the students.

*Popular books.* Libraries with insufficient funds for the purchase of basic required materials are hardly likely to spend appreciable amounts for popular fiction and non-fiction. They will tend to rely on neighbouring public libraries for these. In situations where the students do not have access to good public libraries, however, the university library may find it desirable to form a small collection of popular materials. A well-selected collection may attract more students to the library, encourage reading beyond curricular requirements, and provide a helpful stimulus to those who want to improve their reading ability. In some instances such collections are financed by charging a modest rental fee.

*Rare books and manuscripts.* The purchase of rare books, as such, should be approached with great caution. They are likely to be very

expensive, and unless they contribute directly to a course of study it is highly doubtful whether the small university library should acquire them. This is another suitable area for co-operative acquisitions among a group of libraries within a country.

Rare books and manuscripts of specifically local or national interest should be acquired. Indeed, libraries have a fundamental obligation to collect and preserve the cultural documents which represent the national heritage. It is, however, a service which requires co-ordinated activity. If there is a national library, it should be the main centre for the collection and preservation of such materials and other libraries, especially those of the universities, should coordinate their collecting with it. In the absence of a national library, the university library should assume this obligation.

*Materials in microfacsimile and related forms.* Great advances in microreproduction now make it possible for libraries throughout the world to build important collections of research materials which would be difficult or impossible to acquire in their original forms. Sets of major scholarly journals, long runs of important newspapers, dissertations, government and international agency documents, manuscript collections and long-out-of-print monographic literature may now be acquired in microform. In many instances the producers of microforms are also able to supply full-size paper reproductions. An increasing number of current publications is also available in microform. In general, it is best to acquire in microform the types of materials that are likely to be used for research by a few individuals rather than for general reading by many.

But it is not always possible to make fine distinctions in this regard. A library situated far away from other libraries and from publishing centres cannot make an easy choice. It must buy the material it requires in the form in which it is readily available. To a degree this also holds for readers. They would in general prefer the original to a microcopy but will use the copy if it is impossible or extremely difficult to obtain the original. The usual criteria of book selection apply to materials in microform.

*The library collection.* The library collections should consist of a well-selected stock of general materials: books, periodicals, government publications, newspapers, pamphlets, etc., and special materials, such as microfilms, dissertations, manuscripts, maps, gramophone records, tapes, photographs, charts, etc., suitably identified and organized for effective use. The collection should satisfy all curricular needs of both graduate and undergraduate students and enable the faculty to keep abreast of new developments in their fields of interest.

The collections may be conveniently divided into two categories

for further discussion. First and fundamental is a strong and up-to-date reference collection. It should contain a broad representation of major reference works such as encyclopaedias, language dictionaries, handbooks to subject fields, almanacs and statistical compilations, language guides, biographical dictionaries, geographical atlases, histories, research directories, etc., and bibliographies, indexes, abstracting services, book catalogues, translation lists, etc., in the principal fields of knowledge and in the principal languages of the world. The reference collection is an epitome of the world's knowledge; and it provides the means of identifying and locating authoritative sources of knowledge outside the university. In addition to serving the needs of the university community it is an extremely valuable tool for book selection and order work. The library of every institution of higher education should therefore contain a strong reference collection. In countries where this is impossible to achieve in a single library, co-operative arrangements should be made to ensure that at least one copy of every major reference tool is made available for the use of each library. (The national library, or major university library, may serve as a national resource centre in this connexion.)

The second and largest category is the general collection of books, periodicals and other library materials. Like the reference collection, it should serve not only curricular and research needs, but have a universal character so as to ensure that important subjects which are not directly covered by the curriculum are represented by the standard works.

## BOOK SELECTION APPARATUS

Selection of library materials is a co-operative affair involving the library staff, the faculty and to a degree, as noted earlier, the students. Reading lists and bibliographies prepared by the faculty in conjunction with teaching are important sources for the librarian to consult, and every effort should be made to procure the materials on these lists for the library. But for building up well-balanced collections a more systematic procedure is required. This involves the creation of a selection apparatus: a collection of basic bibliographies of both broad and narrow scope, bibliographical handbooks and book selection guides. These should be studied thoroughly by all who will be involved in the selection process. Desirable items should be checked, and after review by the librarian, desiderata lists containing full bibliographical descriptions of the wanted materials should be drawn up.

A large number and variety of publications are available for this purpose; only a few representative titles can be mentioned here. First,

there are directories and guides to reference works. P. K. Garde's *Directory of Reference Works published in Asia* is an example [7]. Arranged by subject, according to the Universal Decimal Classification (UDC) it lists the titles of reference books published in sixteen Asian States. R. L. Collison's *Bibliographical Services throughout the World: 1950–59* [8], a continuation of L. N. Malclès' previous work on this subject [9], describes the bibliographical activities of various countries and territories and those of a large group of international and other organizations. These publications are only two of a useful series of Unesco Bibliographical Handbooks which are currently available.

Among well-known guides to the selection of reference books are those of Malclès [10], Sabor [11], Walford [12] and Winchell [13]. These list standard reference works by type and subject; in many instances the works are described briefly in terms of their content and arrangement.

In addition to the general directories and guides there are special guides to the literature of a single subject or of a group of related subjects. Among these, the works of Crane *et al.* [14], Foronda Gomez [15] and Hawkins [16] are good examples.

## THE ACQUISITIONS PROGRAMME

The programme is the plan for carrying out the objectives of the library with respect to the development of collections. It should be a long-range plan, flexible in nature and subject to periodic review and revision. Its goals and its methods of operation should have the approval and support of the university authorities. It should be widely publicized among the faculties and library staffs, for its successful development will require the active co-operation of these groups. It would be desirable to initiate it for a five-year or longer period, and to provide budget support accordingly.

In underdeveloped libraries as well as those that are already strong and well supported, the programme should be regarded as a continuous process of systematic selection and acquisition. Wilson and Swank describe it as 'the continuous systematic analysis of weak spots in the book collections through the checking of bibliographies against the library's holdings, the submission to the faculty of lists of materials not owned, the rating by the faculty and library staff of these titles, and finally, the preparation of want or desiderata lists' [17]. The lists then go to the order department where the process of procurement begins.

The acquisition budget is directly related to the acquisition programme. If the programme is long-range, the budget for it should also be a long-range one. This suggests a special capital budget in the same sense that providing new buildings and equipping them usually requires separate capital financing. The capital budget is often completely separated from the budget for routine operating costs: salaries, consumable supplies, building maintenance, etc. In this context, the book collection could be considered part of the initial equipment of the library building.

Another way of financing the long-range acquisition programme would be to estimate the total amount of money required for the specified period and to divide the total by the number representing the number of years in the period. This would yield a yearly figure which could then be incorporated in the yearly operating budget.

## ACQUISITION OF LIBRARY MATERIALS

Library materials are usually acquired by purchase, by gift, by exchange and in countries which designate the university library as a depository under a publications or copyright law by deposit. Regardless of the method of acquisition, all library materials, except perhaps those received as deposits, should be appropriate to the needs of the university. Inappropriate materials, even if free, are ultimately expensive. Like purchases, they require clerical work in the order department, cataloguing and processing and shelf space. The library should therefore apply to the selection of materials in the gift and exchange categories the same criteria as it employs for purchases. Acquisition of deposits should be on a selective basis in accordance with the same criteria unless the library is designated as the national library. In this case, of course, it should acquire everything that is published in the country.

*Purchases: selection of dealers.* For domestic publications, the library may buy directly from publishers, from dealers or jobbers, local booksellers or subscription agents depending upon the state of the publishing and book trade in the particular country. Some publishers will not sell directly to libraries but prefer to distribute their books through dealers or jobbers. Where publishers are willing to deal with libraries, the library should weigh the cost of buying from many publishers against that of buying from one or more dealers. Often it will be found that it is far more economical to buy through dealers, even though their discounts may be lower than the publishers. Buying from many sources requires much more correspondence

and record keeping than buying from a few. Local booksellers may be a good source of acquisitions. If they are located close to the library, they offer the librarian the opportunity of examining books before deciding what to buy. There is no assurance, however, that the local bookseller will have a complete stock of domestic publications. The librarian therefore must become thoroughly acquainted with the production of publishers, learned societies, and research agencies in his country, and the channels through which they distribute their publications. Domestic government publications are usually sold by a government agency. Subscriptions to magazines and newspapers will usually be placed directly with the publishers except where subscription agents operate. For domestic out-of-print materials, the librarian may need to trade with several dealers depending upon the extent and character of the secondhand-book trade.

Acquisition of foreign books, by purchase, is one of the major problems of libraries in developing countries. The principal difficulties may be reiterated at this point: the lack of foreign exchange and unduly restrictive customs and import regulations. Faced with these restrictions, librarians must often turn to the local bookseller whom they can pay with domestic currency for the purchase of foreign books. This can be a very costly and time-consuming process. The most desirable method of obtaining foreign books is to purchase directly through foreign agents. The library should select a reliable dealer in each of the major publishing centres. There are several international book-dealers, who are capable of providing a wide range of current and retrospective materials, subscriptions to journals, shipping and other services. The *Publishers' International Yearbook* provides a list of international book-dealers in sixty-two countries. Additional information and advice about the selection of foreign agents may be obtained from the secretaries of the principal foreign library associations.

To provide for continuous receipt of periodicals, yearbooks, scholarly series in process of publication, etc., it is desirable to place 'standing orders' with agents or publishers. These are orders to supply the publications as they appear until notice is given by the library to stop. International library agents can handle the bulk of such orders except in the case of publishers, such as certain learned and technical societies, who do not give discounts to agents but sell their publications directly to libraries. In some instances it is necessary for the library to obtain membership of a society in order to receive its publications.

Libraries must rely on purchase as the principal means of obtaining most of their current materials. But gifts and exchanges can be important sources of acquisitions.

*Gifts*. As implied earlier, the criteria for requesting and accepting gifts should be the same as those for purchase and exchange. The development, on a continuous basis, of lists of subjects in which the library wants to collect library materials and of lists of specific books, journals, etc., that are wanted, is an essential prerequisite of a gift procurement programme, as it is for other methods of acquisition.

Governments, international agencies, private foundations, national and international organizations and individuals are among the principal sources from which gifts can be solicited. The librarian should acquaint himself fully with these sources.

Gift solicitation inquiries should be as specific as possible. General statements such as 'We need books in all the sciences, etc.' are not helpful to prospective donors and many result, indeed, in a flow of useless gifts.

*Exchanges*. As a source of acquisitions, exchanges can be very significant. A prerequisite is the availability of materials to offer for exchange. If the university has a publishing programme, the librarian should try to obtain supplies of each publication for this purpose. He may also find it possible to acquire multiple copies of his government's publications and those of scholarly and technical organizations for his exchange stock. In certain instances it may be profitable for him to buy locally published materials to use for exchange.

The *Handbook on the International Exchange of Publications* is a valuable guide to exchange activities [18]. Published in a multilingual edition (English, French, Spanish, and Russian) its four chapters deal respectively with: the different types of exchange; organization of national and international exchange services: conventions and agreements for the exchange of publications; and transport and customs. An appendix contains recommendations of regional meetings on international exchange.

## ORGANIZATION OF ACQUISITION ACTIVITIES

Before order work can begin, the university librarian should organize the book selection process to ensure a continuous flow of order recommendations to the order department. The university librarian may establish working relationships with selected faculty members who will be called upon to check bibliographies and other sources for selecting books to recommend for purchase and he may invite some of his professional staff to participate in selection. Recommendations for selection should be marked in a distinctive way to indicate the relative importance of each item so that the university librarian may be guided in deciding whether to approve or disapprove a recommendation. Book reviewing media as well as standard

·aphies should be used in selecting books; these provide to the contents of the book, the standing of the author and ıtation of the publisher. The selectors might be required to each recommendation on a standard library order form, or hould make their recommendations in list form, they should .ested to supply for each book the information that would ly be required on an order form (see Fig. 1).

Order form.

| | | | |
|---|---|---|---|
| L.C. CARD NO. | | | |
| Author Last name | | First name | Middle name |
| Title | | | |
| | | | |
| No. of vols. | | Edition | |
| Place | | Publisher | |
| Year | | Price | |
| Copies | | Binding | |
| Course(s) No. | | ☐ For reserve | |
| Purchase requested | By | | |
| | Dept. | | |
| | Date | | |

RDER ROUTINE

procedures vary widely among universities, but the essen-
ments can be set down as follows:
mendations for new books go to the university librarian for
oval.
ɔproved recommendations are returned to the maker with
explanation.
·oved recommendations go to the order department for pro-

The order department then performs the following activities:

It verifies author, title and other bibliographic information for each item.

It checks the library catalogue to determine whether the item is already owned by the library.

If it is owned, the recommendation is returned to the sender with an explanation.

If it is not, it proceeds to check records of outstanding orders, and of books newly received and in process.

If the title is not in these records, it (a) selects publisher, dealer, or jobber to whom order will go, and prepares an order in letter form or on special printed forms; (b) mails the order, or in the case of domestic books or foreign books that are locally available, the order librarian may visit the local bookshops to select and examine the books and order them; and (c) makes a record of the financial obligation in its accounts.

At this point, the order department may order printed catalogue cards for the book, if they are available.

When the books are received, they are checked against the dealer's invoice. Prices and discounts are verified, and the net price is entered on the book recommendation (or order) card, together with the date of receipt. A record of the expenditure is made in the financial account. The card is filed in an accessions file, and the invoice, if correct, is marked appropriately, and sent to the university financial authority for payment.

The book is sent to the cataloguing department to be prepared for use.

In small libraries, the university librarian may be directly involved in some or all steps of this procedure depending upon the size of his staff and the degree to which he is willing to delegate his authority and duties. In large libraries, it is impossible for the chief librarian to do the order work. He may reserve to himself, however, such activities as visiting antiquarian-book dealers, attending auctions and making extended buying trips.

## REMOVING BARRIERS TO THE FREE FLOW OF BOOKS

It has been mentioned that there are often major barriers, both within and outside the university, to the free flow of books and, consequently, to the effective development of libraries.

Within the university, the university librarian can be given the authority to direct and control all of the activities of the acquisition function, subject to periodic audits of his accounts, but without having to pass through a lengthy chain of command to obtain approval for each routine action. Adequate financial controls can

easily be established in the university business office and the librarian can be relieved of personal financial liability except in clear cases of deliberate malfeasance. The university should do everything possible to expedite efficient and economical book selection and acquisition.

The government can exempt library materials of all kinds from internal taxes, remove import duties where they exist, simplify customs and postal regulations concerning library materials, and improve budgeting and accounting procedures. R. E. Barker has demonstrated persuasively that by removing import restrictions and internal taxes the government loses very little. He cites figures to show 'that national expenditure on book imports is always a minute proportion of total expenditure, and that those countries which need most to import books appear to import them least . . . [and that] the revenue from taxes on books fails to justify the impositions of these taxes' [19].

The government can ratify existing agreements to facilitate the import of educational, scientific and cultural materials [20] and the two recently adopted conventions on international exchange of publications [21]. It can reduce a shortage of foreign exchange—to a degree—by encouraging the use of Unesco Book Coupons and participation in programmes like the United States International Media Guarantee Programme [22] where applicable. It can encourage co-operative acquisition programmes.

By demonstrating their willingness to remove these barriers and to expedite the free flow of books, governments and universities will not only serve their respective self-interest, but they will encourage offers of personal assistance, loans and grants for library development from interested library agencies.

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6. ibid., pp. 131–40.
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8. COLLISON, R. L. *Bibliographical services throughout the world: 1950–1959.* Paris, Unesco, 1961, 228 pp. (Unesco bibliographical handbooks, No. 9.)
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15. FORONDA GÓMEZ, M. *Ensayo de una bibliografía de los ingenieros industriales.* Madrid, Estades, 1948. 803 pp.
16. HAWKINS, R. R. *Scientific, medical and technical books published in the U.S.A.* 2nd ed. *Books published to December 1956.* Washington, D.C., National Research Council, 1958. 1,491 pp.
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19. BARKER, R. E. *Books for all; a study of international book trade.* Paris, Unesco, 1956. 102 pp.
20. UNESCO. *Agreement on the importation of educational, scientific and cultural materials; a guide to its operation.* 2nd ed. Paris, Unesco, 1958. 30 pp.
21. The Convention Concerning the International Exchange of Publications, and the Convention Concerning the Exchange of Official Publications and Government Documents between States. Both were adopted by the General Conference of Unesco at its tenth session, Paris, 3 December 1958. The full texts of these conventions and discussions relating to them appear in the *Handbook on the international exchange of publications* (previously cited); a brief discussion, in Charles de Waersegger, Multilateral conventions concerning the international exchange of publications, *Unesco bulletin for libraries,* vol. 17, March-April 1963, pp. 53–62.
22. Under the programme, local booksellers are issued licences to purchase books published in the United States; they make payments in local currency while the United States Government pays the dollar equivalent to the American bookseller.

CHAPTER VII

# ORGANIZING THE COLLECTIONS FOR EFFECTIVE USE

After library materials have been received and duly processed, they are sent to the cataloguing department where they are identified and organized for effective use by the library's clientele. This is a highly professional function; it involves cataloguing (describing each title in bibliographic terms, according to rules), subject analysis (identifying the contents of each title and representing these by appropriate subject guides) and classification (applying to each title a symbol representing its place in a classification scheme designed to arrange books on the library shelves in such a way as to facilitate their use).

This chapter will confine itself to broad aspects of the organization of library materials on the assumption that librarians will have access to many of the excellent books and journals which treat the subject in detail. It will only mention certain important subjects —information theory, documentation and automation of library services—because it is further assumed that the fundamental needs of libraries in developing countries are to build up their resources of library materials, to obtain more trained staff and to improve their basic services and facilities.

## SCOPE OF CATALOGUING DEPARTMENT ACTIVITIES

The activities of the department require the preparation of necessary records for public and staff use, the preparation of library materials for use and related activities such as accessioning, compiling lists of new acquisitions, taking inventory, compiling statistics and making reports.

The basic records are the public catalogue, the shelf-list and in some libraries, additional records which may include official catalogues, depository catalogues, union catalogues and a wide variety of auxiliary catalogues.

The public catalogue is the most important record from the reader's point of view. It may consist of one or more catalogues, in book or card form, or in combinations of each, depending on such

factors as the age, size and nature of the library. The book catalogue may take two major forms: (a) printed catalogues of total holdings, and of special collections, with supplements or cumulated editions (many catalogues in this form have been produced in Europe, the United Kingdom, the United States of America and to a lesser degree in Africa, Asia, and Latin America; these catalogues have been produced chiefly by relatively slow and expensive traditional printing methods until recent years when improvements in reproduction techniques such as high-speed controlled photography, xerography, photo-offset printing, tabulating machines and computers were introduced and developed); (b) written or typed book catalogues in loose-leaf bound form. The British Museum maintains its principal catalogue by pasting written or typed entries for new titles on the blank pages of bound volumes. Many libraries in England maintain a sheaf catalogue—'a catalogue of paper slips, each bearing a single entry, held in loose-leaf binders which are labelled and shelved in specifically designed racks' [1].

Despite technological advances which have brought new popularity to the book catalogue, the card catalogue is the prevailing form. It consists of individual entries, usually typed, printed or written on 3 × 5 inch cards, representing the holdings of the library. Like book catalogues, those on cards may be of several types, depending on how the cards are arranged: the dictionary catalogue, the divided catalogue, the classified or systematic catalogue.

The dictionary catalogue is an arrangement in a single alphabetical file, similar to that of the words in a dictionary, of author, title and subject cards representing each catalogued item in the library. Entries are made in accordance with established rules for determining the form to be used for author identification and for the selection of subject entries. Guides are inserted in their respective alphabetical places to lead the reader to the entries representing the books he seeks, and to call his attention to related books. The catalogue may also contain a variety of general information cards referring to uncatalogued materials, such as pamphlet files and suggestions for the use of the catalogue. The dictionary catalogue is an integrated index to the contents of the library. This type of catalogue is widely used in the United States but far less so in other countries. The 'monocatalogue system' of the United States libraries represents an attitude that 'is not shared by librarians overseas; as a matter of fact, European libraries are characterized by a multiplicity of catalogues', according to Reichmann [2].

In small and medium-size libraries the dictionary catalogue is easy to use and to maintain. As libraries and their catalogues grow larger, complexities and difficulties appear. This has led some libraries to divide the catalogue into two parts: an author-title catalogue and a subject catalogue. This is what is generally meant by the

term, divided catalogue. In some instances, titles are included in the subject catalogue on the theory that distinctive titles, especially in the physical and social sciences, can serve as additional subject entries. The author-title catalogue usually includes personal and corporate authors, series and selected titles, all arranged in a single alphabet. The subject catalogue is an alphabetical listing of books under subject, together with appropriate subject guides.

The classified or systematic catalogue is one in which entries are arranged according to a system of classification. In this respect it is like the shelf-list. It differs from the shelf-list, however, and resembles the subject section of the divided catalogue in that it may often contain several class numbers for a single book, thus providing more than a single subject lead when necessary. To be most effective as a guide to the existence and location of books the classified catalogue should be supplemented with an author-title catalogue and an alphabetical subject guide. Readers who are particularly interested in learning whether the library has a specific book whose author or title is known to them can then go directly to the author-title catalogue, without becoming involved in the intricacies of the classification system. An alphabetical subject index to the classification system is usually necessary to guide readers. Writing about small technical libraries, D. A. Redmond makes some observations which have significance for general university libraries as well: 'The classified catalogue has distinct advantages in a developing country where there is more than one local language, or where these are not the major scientific languages. Class number notations are international, and alphabetic indexes to them may be prepared in several languages. A major disadvantage of the classified catalogue is the barrier presented by the classification scheme—which is never understood by non-librarians.' [3] This barrier can be surmounted by combining Redmond's suggestion that alphabetic subject indexes to the classification scheme be prepared, with appropriate instruction and assistance to readers.

The shelf-list is primarily a staff tool but it may also serve the public as a supplement to, or as part of, the public catalogue. This may be feasible in small libraries and special departmental libraries where the cataloguer may have to double as chief librarian or as reference librarian. In general, however, unless it is duplicated for public use, the shelf-list is located in the cataloguing department, where it is regularly consulted to ensure that book numbers are not duplicated and to guide classifiers in selecting the category that is most appropriate for each book. Because its contents are arranged in the order in which books are shelved, the shelf-list is also used for inventory purposes.

The official catalogue is another staff tool. Generally it is a file in a single alphabet of the main entries for all the holdings of the library.

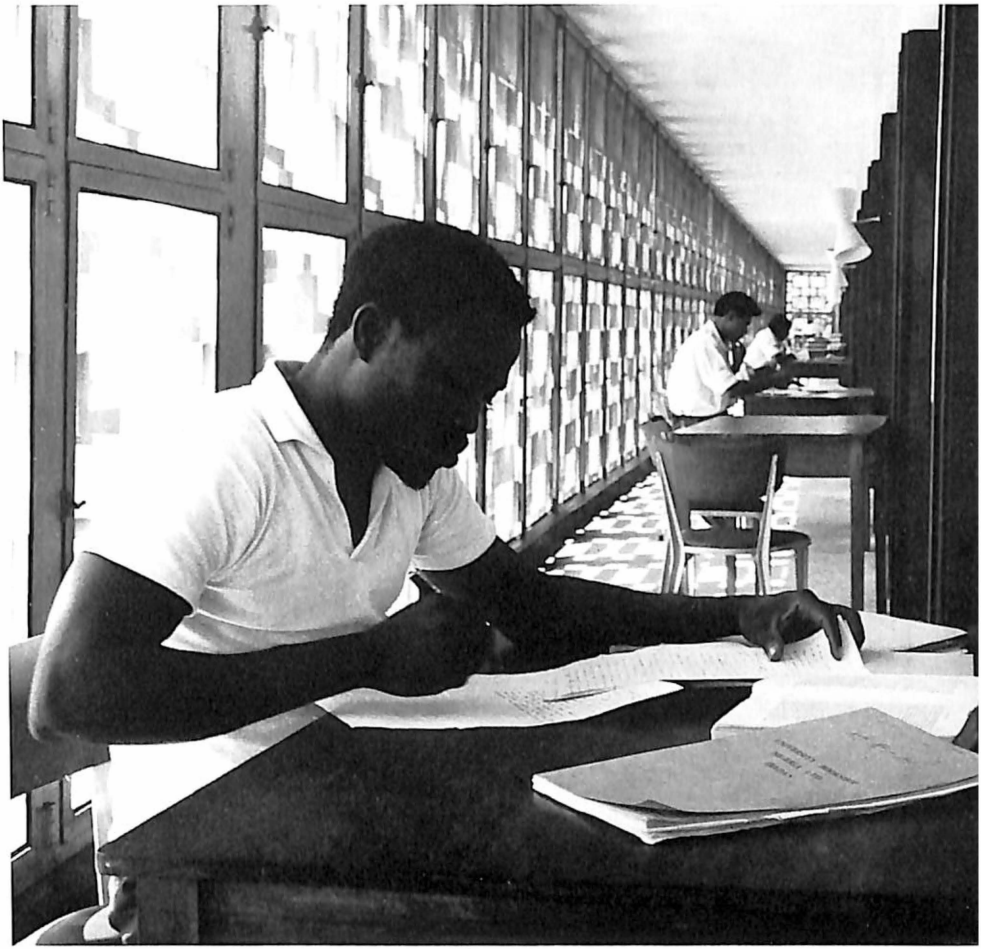


Photo: Unesco/Almasy-Vauthey

v. Special facilities and services. Individual study facilities in the stacks of the University Library, University of Ibadan (Nigeria).

Photo: Donald Saff

VI. Special facilities and services. Facilities for listening to gramophone records in the Paul Klapper Library, Queens College, New York. Doors at the rear lead to individual listening booths.

Photo: Unesco/P. A. Pittet

VII. Special facilities and services. Special storage arrangements for manuscripts in the Rangoon (Burma) Museum. A student is examining a white 'Parabaik', a manuscript written on a long single sheet of thick, strong paper which is folded at about 6-inch intervals in accordion fashion. In the foreground are some palm-leaf manuscripts.

Photo: Donald Saff

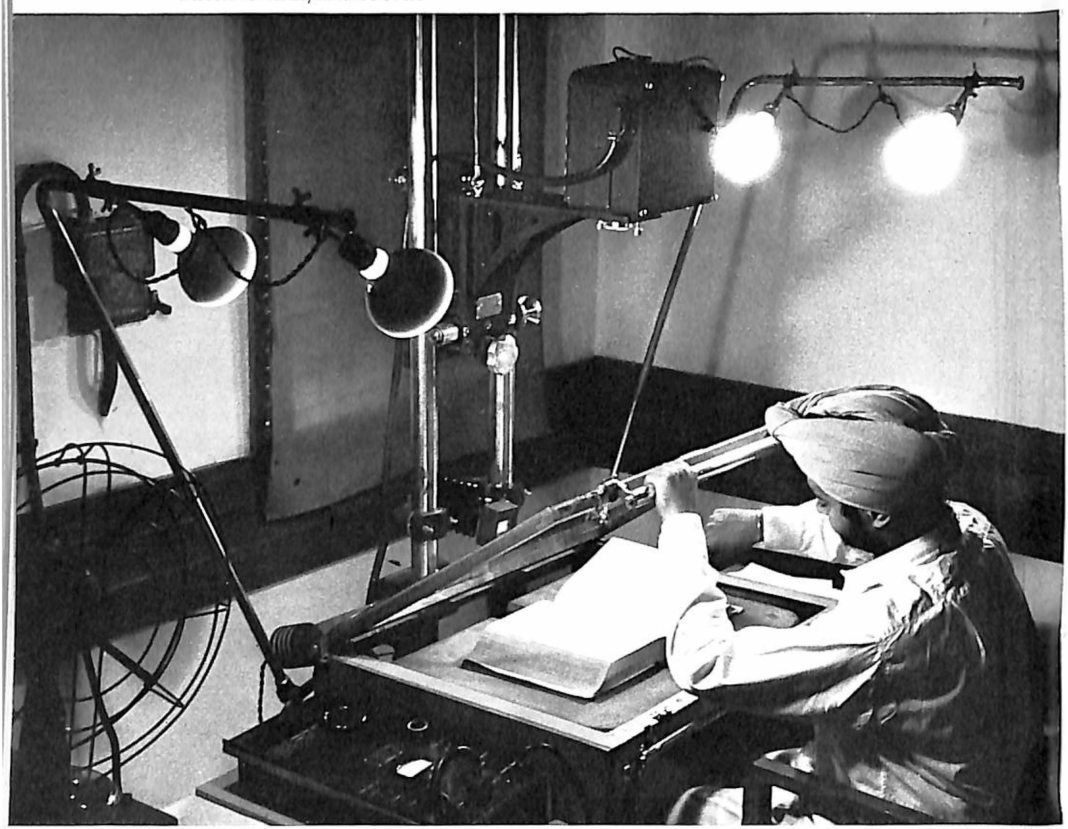
VIII. Special facilities and services. The information centre in the Paul Klapper Library, Queens College, New York. The library catalogues are in the foreground, the information desk in the background.


Photo: Unesco/Gisèle Freund

IX. Special facilities and services. The main catalogue of the Free University of Berlin.

x. Special facilities and services. Microfilm apparatus with special stand designed by Unesco team and built in the National Physical Laboratory (India) for Indian Scientific Documentation Centre.

Photo: Unesco/Eric Schwab



XI. Special facilities and services. Projector for microcards.

Photo: Donald Saff

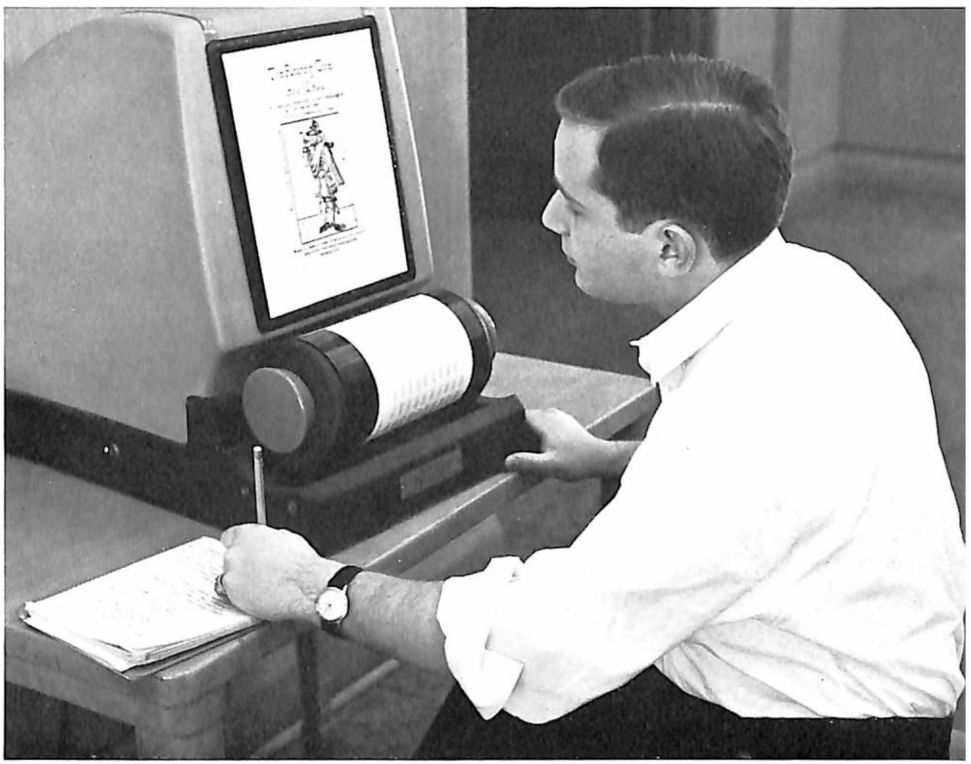



Photo: Donald Saff

XII. Special facilities and services. Projector for microfilms, Paul Klapper Library, Queens College, New York.

These usually consist of entries for authors or for titles when these are the main entries (for example, periodicals and books published anonymously). In some libraries it is combined with other files, and it may also serve as the union catalogue of a library system. In very busy libraries where the clientele may frequently use the public catalogue, it is very helpful to have an official catalogue in the technical services work area. There it can be consulted directly and conveniently in connexion with order work and cataloguing. In such circumstances it is possible to locate the technical services area in almost any part of the building; where an official catalogue is not maintained it is usually desirable to locate these services in convenient relation to the public catalogue. Useful as it is, the official catalogue is expensive to maintain. Small libraries will probably find, therefore, that they cannot afford it.

Yet another staff tool is the depository catalogue. In some countries, national or regional libraries may deposit with associated libraries copies of their holdings in book or card catalogue form. Particularly if coupled with generous interlibrary loans and centralized cataloguing or acquisition programmes such catalogues can be very useful. Large catalogues in card form require expensive equipment, much space, and regular maintenance which may also be expensive. For these reasons most of the United States libraries which originally maintained card depository catalogues of the United States Library of Congress gave them up when the Library of Congress made its printed book catalogues available. In countries with poor library resources, depository or similar catalogues issued by bibliographical or documentation centres or by the national library can be utilized profitably by the university library.

Union catalogues, the combined records of the holdings of several libraries, are very desirable as a basis for interlibrary use and for control of duplication in acquisitions. National union catalogues are best maintained in the national library, which should offer appropriate interlibrary services in connexion with them.

## ORGANIZATION AND ADMINISTRATION

The university librarian is responsible for organizing and administering the catalogue department so as to co-ordinate its activities with those of related technical services. At the same time, he must define and establish the authority and responsibility of the catalogue department with respect to its own activities and in its relation to other departments of the library.

In consultation with his chief catalogue librarian, if he is fortunate enough to have a well-trained one, the university librarian must decide the objectives of the department, select the classification

system and the cataloguing codes which are appropriate to its work, designate the principal records to be established and maintained, provide the equipment and the personnel, chart the organization, specify the statistical and other reports he will require, and arrange for adequate liaison with all units that are to be served by the cataloguing department.

*Internal organization.* Depending upon the size of the library, the volume of its acquisitions, the number of librarians available and their qualifications, the work of the department may be organized in various ways. Wilson and Tauber suggest four methods. These would appear to be applicable mainly to large university libraries, but the division of work that is represented applies in principle to small libraries as well. They suggest that work may be organized by process, by subject, by language and by form or type of material. Organization by process might involve splitting the professional activities so that descriptive cataloguing, classifying and subject cataloguing could be assigned to different individuals. In actual practice, classifying and subject cataloguing are so closely related that they are usually performed by the same individual. In small libraries, all three activities would be performed by one person. But as the staff and volume of work grow, a division of labour along these lines may be desirable.

Organization by subject is quite common. With a staff of two cataloguers, it may be desirable to assign one to physical and natural sciences and the other to humanities and social sciences. In time, the cataloguers develop expertise in their respective areas. In this style of organization, each cataloguer performs the whole range of activities involved. Division of work by language is frequently done. In such a division, one cataloguer might handle domestic materials in local languages, while another deals with foreign materials. Division by form or type would be employed if the volume of serials—periodicals, government publications in series, yearbooks, annuals, etc.—is large enough to warrant assignment of a librarian to this activity alone, while another deals with books. Other forms or types of material which might call for special handling are microfilms, gramophone records and maps. A combination of these methods will probably be necessary [4].

The organization of work will involve provision of adequate clerical assistance to the professional staff. Even a single catalogue librarian, assisted by competent typists and clerks, can produce a large volume of work. If the university librarian is given adequate administrative and financial support in organizing a proper cataloguing department, and books are quickly and effectively organized for use in the main library, the library may find itself able to offer centralized cataloguing services to other university library units.

With a poorly staffed cataloguing department the university librarian can hardly be expected to succeed in persuading these units that they would be better off by accepting the services of the main library.

*Bibliographical and reference materials for staff use.* The cataloguers need to have convenient access to bibliographical and reference materials. Questions will frequently arise about the way to enter an author's name in the catalogue, or the selection of appropriate subject headings with which to represent a book, etc., which require the cataloguer to refer to technical works on cataloguing and classification and other publications. A small collection of the most needed technical works and foreign-language dictionaries should be installed in the work-rooms of the catalogue department; for other materials the cataloguers should have easy access to the library's reference collection. (This is another instance of the desirability of sound building planning.)

*Catalogue department rules and activities.* Uniformity and consistency are fundamental principles of cataloguing activity. Application of these principles implies the use of standard codes of cataloguing rules, of authoritative lists of subject headings and of classification systems.

*Catalogue codes.* A variety of codes of cataloguing rules is available for the use of libraries. Among widely used codes are those of the United States Library of Congress [5], the American Library Association [6] and the Vatican Library [7]. In France, the Association Française de Normalisation has issued a series of cataloguing guides; these have appeared in abridged and simplified form [8]. In the Federal Republic of Germany, and other German-language areas, the Prussian Rules [9] are widely followed. In Russia, a comprehensive series of catalogue codes has been prepared for use in large libraries, and simplified versions of the rules are available for small libraries [10].

These and other codes of rules are explained and supplemented by texts on cataloguing, and publications relating to author and title designations in special circumstances. H. A. Sharp's text on cataloguing [11] and Susan G. Akers' *Simple Library Cataloging* [12] are well known. Among a variety of works dealing with author entries are C. F. Gosnell's *Spanish Personal Names* [13], Maria L. Monteiro's *Nomes Brasilieros . . .* [14] and Nasser Sharify's *Cataloging of Persian works* [15].

Selection of a code of rules for cataloguing is essential for effective local library development but it has even wider importance. The aim of all libraries as conservators and transmitters of knowledge should be to identify their holdings so as to facilitate local, national and international communication of knowledge. In this

connexion the IFLA International Conference on Cataloguing Principles reached a historic agreement in 1961 by adopting a statement of cataloguing principles for universal application. The report of this conference [16] is an extremely important document which should be read by all librarians who have an interest in, or are responsible for cataloguing.

And, 'now that . . . agreement exists on the principles governing the choice and form of headings for entries in an author and title catalogue, it is reasonable to hope that agreement may follow on the choice, form and sequence of the items of description necessary to complete these entries' [17]. The author is referring to the additional data that are required to complete the identification of each publication. These include the full title, edition, place of publication, name of the publisher, date of publication, paging, illustrations and related information. Figure 2 shows samples of entries and other data required for descriptive cataloguing.

*Subject analysis.* The purpose of subject analysis is to identify the major subject matter of each book for representation in the catalogue and to find its proper place in the library's classification scheme. Combined with descriptive cataloguing, it is designed to make the library collections accessible to the library's clientele.

In the alphabetical subject catalogue, whether it is in separate form or combined with authors and titles in one alphabet, each book may be represented by one or more subject headings, each consisting of a term or a group of terms representing a subject. The selection of subject headings is best done from an authorized list in order to ensure that terminology is consistently employed. In English, the most extensive list is that of the United States Library of Congress [18]. A widely used list in small public and college libraries is *Sears List of Subject Headings* [19]. While considerably shorter than the Library of Congress list, Sears is also comprehensive in scope. In addition, there are both comprehensive and specialized lists in many of the European languages. The major difficulty encountered by countries whose principal languages are other than those in which these lists are published is that of translating and adapting the terminology to suit their particular needs. But an authoritative list of terms representing subjects to be represented in the catalogue is nevertheless essential. The library may find it necessary to supplement a standard list with one of its own. A record should be made of the terms that are used, and of deviations from the standard terms. Examples of subject headings on catalogue cards appear in Figure 3.

*Classification* may take two forms: (a) an arrangement of books and other library materials in convenient, related groupings by subject to facilitate direct access to them on the shelves; (b) an arrangement of references to books in a bibliography or catalogue.

Fig. 2. Samples of entries and other data required for descriptive cataloguing. (a) Single personal author; (b) Corporate body as author; (c) Title as main entry.

(a)

156.4
F889
Z7C

**Clouzet, Maryse (Choisy)** 1903–
Sigmund Freud: a new appraisal. New York, Philosophical Library [1963]
141 p. 22 cm.

1. Freud, Sigmund, 1856–1939.

BF173.F85C6 1963a 926.1 62–18553 ‡

Library of Congress [5]

(b)

QD
506
E5

**Electrochemical Society.** *Corrosion Division.*
The surface chemistry of metals and semiconductors; a symposium sponsored by the Office of Naval Research and the Electrochemical Society, Columbus, Ohio, 1959. Edited by Harry C. Gatos, with the assistance of J. W. Faust, Jr., and W. J. LaFleur. New York, Wiley [1960]
xi, 526 p. illus., diagrs., tables. 24 cm.
"Papers presented at the joint symposium of the Corrosion and Electronics Divisions of the Electrochemical Society."
Includes bibliographies.
1. Surface chemistry. 2. Metals. 3. Semiconductors. I. Electrochemical Society. Electronics Division. II. U. S. Office of Naval Research. III. Gatos, Harry C., ed.

QD506.E5 541.3453 60—14244

Library of Congress [61i²30]

(c)

RS
153
M57

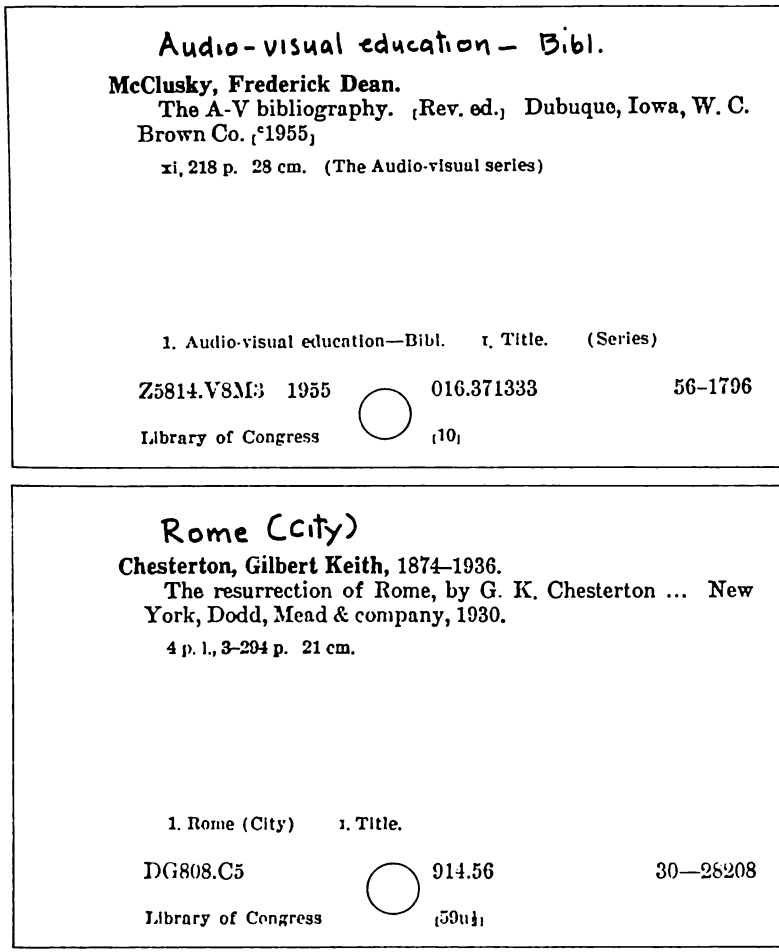
**Modern** drug encyclopedia and therapeutic index. 1st– ed. New York, 1934–
v. 24 cm.
Title varies slightly.
Editors: 1934–41, Jacob Gutman.—1946, A. B. Gutman.—1949– M. E. Howard.

R
RS
153
M57

——— Three year supplement to New modern drugs; a presentation of the important new medicinal preparations described in the quarterly index, New modern drugs, 1935 to 1937 inclusive, together with descriptions of additional drugs which have not been previously published. By Jacob Gutman. New York, American Journal of Surgery, inc., 1938.

(Continued on next card)
34—12823*
[61r49o⁷10]

Fig. 3. Subject headings on catalogue cards.




The first is a shelf or book-classification; the second, a bibliographical or, as W. C. Berwick Sayers puts it, a 'catalogue classification' [20]. In the small or large university library which permits clientele to go freely to the bookshelves, a classified arrangement of the books is considered essential. In very large libraries whose main book-storage areas are closed to readers, the need for book classification is not so obvious. Many of the older European libraries with closed storage arrange their books by accession number—a number indicating the order of receipt—giving all books, except possibly a relatively small number of open-shelf reference books, a fixed

location. In such circumstances, the public catalogue is the only location device available to the reader.

There is an extensive body of literature on the subject of classification and much recorded debate as to the relative merits of open versus closed shelves. Experience indicates that the university reader is best served by a classified, open-shelf collection and this is the assumption on which the following discussion will be based.

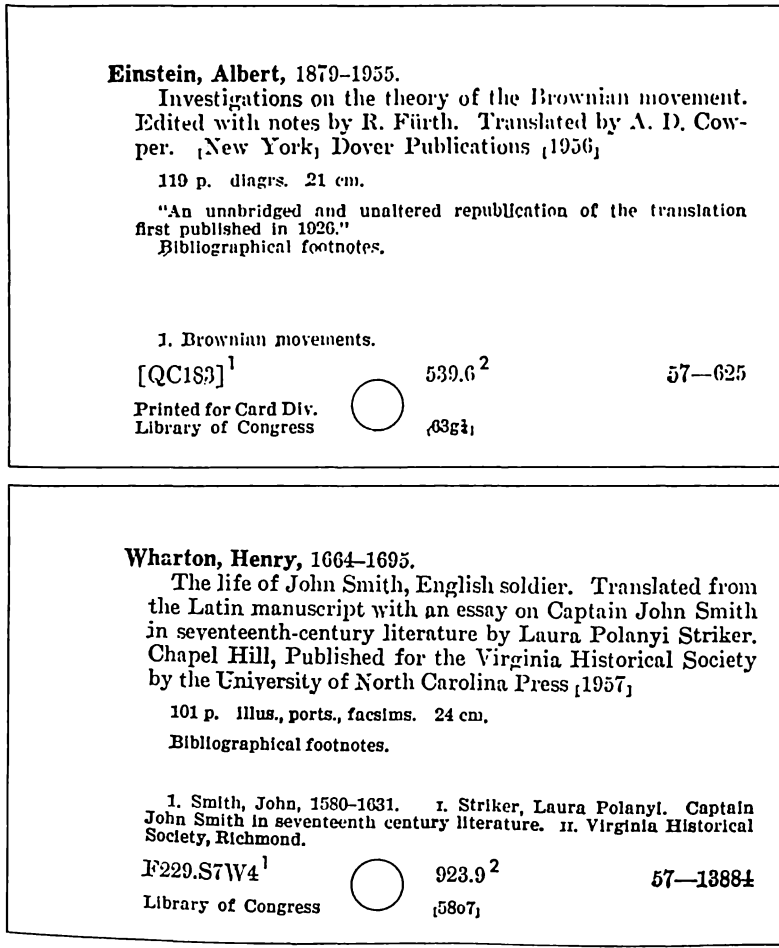
The most widely used classification systems are the Dewey Decimal Classification, the United States Library of Congress Classification and the Universal Decimal Classification, which are well known by their respective abbreviations DC, LC and UDC. Ranganathan's Colon Classification and Bliss' Bibliographic Classification are highly respected but not widely used, except that the latter appears to have gained some new adherents in recent years.

The university librarian should select the classification system on the basis of objective criteria. Sayers suggests in this connexion that what we expect in a classification is that it will work. This it will do so long as it is comprehensive, in a consistent and recognizable order, as minute a statement of things as is humanly possible, flexible enough to keep abreast of the changes in thought and in literature which is its reflection, and it has a simple notation which is also flexible, and a full index [21].

The DC and LC systems were designed as book classifications. DC is more widely used than LC but this may be due partly to historical factors: the DC appeared in 1876, the LC more than a quarter of a century later. The LC was designed for a large library and is, indeed, used more in large than in small libraries. Its classification is highly detailed. When used in very large libraries for extremely detailed classifications, DC classification numbers tend to become unduly long and cumbersome, while the LC notations remain relatively simple and short.

Both of these systems are kept up to date and the Dewey Classification is kept current between new editions by the issue of *Dewey Classification Additions, Notes and Decisions* by the Library of Congress. These two systems meet Sayers' criteria and offer some additional advantages. Each is fully indexed. Each can be used together with a standard list of subject headings; i.e., the DC with *Sears List of Subject Headings* which provides DC numbers; the LC with the LC *List of Subject Headings* which contains LC numbers. Each of these subject-heading lists serves as an additional index to the respective classifications. Also, it is possible for all libraries to buy printed catalogue cards from the Library of Congress for the books which it catalogues; these cards often include the DC as well as the LC numbers. Purchase of printed cards can be made on a selective basis. Examples of printed cards in Figure 4 show the location of classification symbols.

Fig. 4. Classification symbols on printed catalogue cards.



**Einstein, Albert,** 1879–1955.
Investigations on the theory of the Brownian movement. Edited with notes by R. Fürth. Translated by A. D. Cowper. [New York] Dover Publications [1956]

119 p. diagrs. 21 cm.

"An unabridged and unaltered republication of the translation first published in 1926."
Bibliographical footnotes.

1. Brownian movements.

[QC183][1] 539.6[2] 57—625

Printed for Card Div.
Library of Congress (63g2)

**Wharton, Henry,** 1664–1695.
The life of John Smith, English soldier. Translated from the Latin manuscript with an essay on Captain John Smith in seventeenth-century literature by Laura Polanyi Striker. Chapel Hill, Published for the Virginia Historical Society by the University of North Carolina Press [1957]

101 p. illus., ports., facsims. 24 cm.

Bibliographical footnotes.

1. Smith, John, 1580–1631. I. Striker, Laura Polanyi. Captain John Smith in seventeenth century literature. II. Virginia Historical Society, Richmond.

F229.S7W4[1] 923.9[2] 57—13884

Library of Congress (5807)

[1] LC symbol; [2] DC symbol.

The UDC offers most of the advantages of DC and LC. Printed cards bearing UDC numbers have not been available to the same degree and revisions have been less frequent. The notation can be quite long when minute sub-divisions of subjects are made. But it is nevertheless highly flexible and it is available in several languages.

The Bliss and the Ranganathan classifications were designed primarily as bibliographic catalogue classifications rather than for book or shelf use. Each system has, however, been used successfully for library arrangement and they have lent themselves quite

successfully to machine applications in documentation. The Bliss system has attracted a significant following among librarians in the British Commonwealth. It is shown in one study that among eleven university libraries—some less than a generation old—in States which were or are associated with the Commonwealth, four use the Bliss classification, while four and three use the Library of Congress and Dewey classifications respectively [22].

The size of the library, especially the anticipated future growth is a significant factor in the choice of a classification system. Libraries that are likely to grow very large will probably find the LC and UDC more attractive than the DC. Another factor is the nature of the library. If it is a scientific or technical library the LC or UDC will be a good choice.

In some circumstances it may be desirable to use more than one classification system in a library. It is conceivable, for example, that a large university system using DC in its main library may wish to use LC or UDC in a new engineering library or in a faculty of sciences library. Such a choice should be made only after careful deliberation. Additional trained staff and a more complex record system may be required.

Once the system is chosen, it should be followed consistently and careful records should be kept of all decisions that involve adaptations or modifications.

In classifying, as in cataloguing and subject analysis, there are good texts available to guide the classifier. Among these, Merrill's [23], Sayers' [24] and Mann's [25] works are suggested examples. For users of the Dewey classification, the United States Library of Congress *Guide to the Use of Dewey Decimal Classifications* [26] is available, and for libraries using the UDC, the British Standards Institution's *A Guide to UDC (8.5.1000 c:1963)*.

*Organization of cataloguing activities.* In general, publications are handled in sequence somewhat along these lines. They are catalogued and classified; in the process a single card or work slip is prepared for each item, giving the author's name, the title, such additional data as are required for its identification and its classification or location symbol. The card or slip, accompanied by the publication, is edited or as librarians say, revised; if correct, it is reproduced either by typing or by duplicating machine, in the number of copies required; the cards are inspected and, if approved, they are placed in the publication, which is then ready to be prepared for use by readers. When preparation is completed, the publication is inspected to ensure that it is marked with the correct classification or location symbol; if all is correct the cards are taken out and the publication is shelved. The cards are then sorted and counted for statistics and filed in the appropriate catalogues.

This is the basic process; the sequence and the number and nature of activities may vary among different libraries, according to the volume and nature of the materials that are processed, the size of the staff and the range of activities assigned to the cataloguing department. For example, where printed catalogue cards are available the cataloguing and classification activities for the books involved may be reduced; and if a large proportion of the publications are so affected, the cataloguing activities may be divided so that one librarian deals only with publications for which printed cards are available, while another does original or full cataloguing and classifying along the lines indicated above.

Filing of cards in the catalogues is usually done according to an accepted code of filing rules to ensure that the reader can find the card he is seeking in the place it is supposed to be. An error in filing or an inconsistency can be equivalent to a lost book, especially in libraries in which the catalogue is the only or principal book location device. The library will, accordingly, either compile its own or use an existing filing code.

Preparation usually consists of marking each library item with a symbol of ownership; labelling or marking it with the classification mark or location symbol by which it may be placed on the shelf and inserting the record by which its lending will be controlled.

In some libraries, the catalogue department is responsible for accessioning the book. This now often consists of entering in the book and on the original order card a number representing the order of the book's receipt by the library. The order cards can be arranged by accession number to form the accessions record. The use of an accessions register in book form is declining as it requires an unnecessary duplication of the information that should appear on the completed order card. A modified form of order card may be used for entering items received by gift or exchange in the accession record. Many libraries no longer find it necessary to keep an accessions record.

The basic processes described here may be modified or changed if the library is operating a centralized cataloguing department or if it provides for a division of cataloguing activities between itself and departmental or faculty libraries. They may also require modifications or changes in the handling of special materials such as serial publications, manuscripts, microforms, gramophone records, etc.

Reporting is the responsibility of the head of the catalogue department. Statistical reports at periodic intervals should reveal the nature and volume of publications that have been processed; they may also contain inventory statements designed to show total holdings, broken down by main subjects and types of materials. The chief librarian may require a comprehensive annual report listing not

only statistics but also describing major achievements and problems and containing appropriate recommendations.

Because it maintains the shelf-list, the catalogue department is sometimes called upon to conduct book-stock inventories. This activity is more properly a task for the circulation department which generally is responsible for storing the book-stock. When losses are identified, they are reported to the catalogue department for appropriate changes in the records.

A certain amount of reclassification and recataloguing may be necessary in even a small library as staff members in the reader's services find books that have been either incorrectly or inappropriately identified or classified. But wholesale reclassification —changing from one to another system—should be avoided or if undertaken, should be done only after a most thorough consideration of possible benefits and costs.

*Division of labour.* A layman, looking over this description of cataloguing department activities, will realize that many of the tasks involved can be performed by clerical and manual workers. Typing, duplicating cards, labelling, pasting, sorting, carrying books from place to place and filing are among these tasks. Because of the importance of correct filing it is customary to have a clerk do the filing in the catalogues subject to revision by a librarian, but most other tasks require less precise supervision. Economical and efficient use of the professional talents of the librarians requires that they be given ample clerical assistance.

## EVALUATING THE CATALOGUING SERVICE

This is an important administrative responsibility of the university librarian. He should assure himself that the work is being done efficiently, that there are no unwarranted arrears, that the cataloguing and classification satisfies the users of the library. If he has control over outlying libraries he will be equally concerned about the quality and efficiency of the cataloguing that is being done by or for them.

## SOME PROBLEMS AND FUTURE POSSIBILITIES

Many university libraries face serious problems in their efforts to organize library materials effectively. In old universities whose faculties control their own libraries the diversity of cataloguing and classification practices may be such as to make it extremely difficult to introduce a degree of centralization or even of co-ordination which would have the effect of making the total library resources fully known and accessible. In such situations, the university

librarian needs not only authority to make improvements but also resources in the form of well-trained staff and adequate funds. Even with this kind of backing he may have to proceed gradually. Once he succeeds in establishing effective processes of cataloguing and classification on a university-wide level, these activities combined with centralized acquisitions can make other services, such as a union catalogue of holdings on a current basis, feasible. As his organization develops and liaison with outlying library units improves, retrospective union catalogues and separate union lists of serial publications may be produced.

Translation and adaptation of standard lists of subject headings and classification codes to the particular needs of a country may be a serious problem. M. Sheniti discusses this comprehensively in a paper on the problem of subject cataloguing for libraries in Arab countries and the development of a classification system and a list of subject headings suitable for their needs [27]. He concludes that it should be possible to translate and adapt the *Dewey Decimal Classification Schedules* and *Sears List of Subject Headings* and similar codes for use in Arab libraries. Such problems are prevalent in many parts of the world.

The technological revolution that has produced the tabulating machine and the computer, as well as great advances in printing and photography, promises also to revolutionize library science. Multiple copies of printed catalogues can now be produced quite economically by the new methods; these alone could serve to mobilize the entire library resources of a large university for the use of the whole university community regardless of the location of its teaching and other units.

The almost fantastic speed and capacity of computers has made it possible to index the contents of books and journals in great detail, far exceeding that which the relatively slow manual methods that library cataloguers normally employ can produce. The machines have spurred a renewed interest in classification and information theory which will ultimately produce new classification systems susceptible of being used internationally for documentation work [28].

The library applications of the new machine technology are being identified and employed increasingly; librarians all over the world should be alert to them.

NOTES

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CHAPTER VIII

# READERS' SERVICES

'The basic test of the quality of any university library is its ability to get into the hands of the reader the book he wants when he wants it,' says William S. Dix, Librarian of Princeton University (United States) who suggests further 'that this is the first principle, and that from it stem nearly all of the things we do or ought to do in libraries' [1]. Dix's principle has two corollaries which are particularly relevant to readers' services: (a) library materials should be highly accessible and easily available for use by all members of the university community; and (b) assistance in the location of materials and in the use of the library for information and research should also be available.

Broadly speaking there are two areas which underlie the services and facilities which should be made available to readers: the circulation (or loan) service and the reference (or readers' assistance) service.

The administrative organization and physical location of the library units will directly affect the nature of circulation and reference services. In the principal libraries of the university, a functional organization by type or form of library materials may require separate reading-rooms for general books, for periodicals, and for reference services. A general organization of materials and services may consist of a closed book-storage area, a central circulation unit for book delivery and loans, a reading-room for the use of books on the premises, which may include a reference section, or be supplemented by a reference reading-room. An organization of materials by broad, related subject groups—subject divisions, rather than departments—of library materials, regardless of form, requires fewer separate reading-rooms, as all types and forms of materials (books, journals, newspapers, microfilms, etc.) are brought together by subject in one area. In this form of organization, journals and newspapers are received and prepared for use in the technical services department and then sent directly to the appropriate subject division. Specialized reference services covering all types of materials may be offered in the divisional library.

Neal Harlow takes the position 'that there are distinctive levels

of academic and research need in respect to library service within institutions of college and university rank, and if this be true, individual library programs can be designed to satisfy them' [2]. His hypothesis: 'There are three levels of library use in an academic and research institution: (1) college level—the student's library, for the beginning student engaged in general education and in acquiring background for specific disciplines; (2) university level—the maturing scholar's library, for the developing scholar and specialist, emphasizing a subject field or area, providing synthesis and an introduction to research; and (3) research level—for the advanced graduate, faculty member and research staff concerned with the extension or application of knowledge providing the necessary intellectual support for research.' [3] He believes these levels of need can be identified and analysed and that specific services can be designed to satisfy them [4].

In consultation with the faculty, with appropriate university officials and his senior staff, the university librarian should identify the level of need and the various possibilities that are open to him in view of his resources. He should then make recommendations accordingly. In the process, he will almost inevitably have to deal with problems of centralization versus decentralization; these will be treated at various pertinent points in the rest of this chapter.

## CIRCULATION SERVICE

The main function of the circulation service is to facilitate physical access to library materials and to encourage thereby the fullest use of the library for all of the purposes of the university. This implies responsibility for the physical custody of the books; their accurate arrangement on the shelves according to the library's classification system; their return to the shelves after use by readers; and for operating an efficient system of loans and returns in accordance with established rules.

Because they deal directly with almost all who use the library it is essential that circulation personnel who act in advising and supervising capacities be well informed about the library's collections and services and that they and their assistants be courteous and helpful to readers. Officious and untrained personnel can very effectively discourage use of the library and alienate the library clientele.

*Organization and administration.* Under the general supervision of the university librarian, the head of the circulation service or department organizes and supervises activities which may include: identifying prospective borrowers; the circulation process; conduct-

ing inventories and searching for missing books; compiling reading lists; assisting readers in the use of the library catalogues; assisting students in the selection of books; conducting interlibrary loans; maintaining the book-stacks; administering a collection of reserved books; and other activities.

*Identification of borrowers* is a fundamental though simple activity. The library must be satisfied that those who borrow its books are entitled to the privilege and are suitably identified. Otherwise it cannot fulfil its obligation to safeguard the collections. In very small universities, where every student and teacher is likely to be well known to the staff, identification is not a significant problem; it becomes one in larger institutions and where the library serves government officials, city or town residents and other persons who are not members of the university community. Many universities issue an identification card to both faculty and students; in some, an official university receipt for payment of fees may serve to identify the student.

*Borrowing procedure.* In an open-shelf library the reader usually selects his books directly from the shelves and he either reads them in the library or arranges to borrow one or more to take to his living quarters. In closed-shelf libraries, he must consult the library catalogue to select his books, and present a call slip (a requisition form) for each item he wishes to borrow. The call slip is usually a printed form on which the borrower fills in the author, title and call number or symbol of the book, his name and address and such other information as the library may require. The borrower presents the call slip at the loan desk, from which it is sent to the book-stacks. An attendant in the stacks obtains the book and sends it with the call slip to the loan desk; if the book is not on the shelves, the call slip is marked accordingly and returned to the loan desk. In many university libraries the returned call slip is then checked in the file of outstanding loans to determine whether the book is on loan and, if so, when it is due to be returned. The person requesting the book is informed and invited to place a reserve—a request that he be notified when the book is returned. It is customary, in such instances, for the borrower to fill out a self-addressed postal card, for which he is expected to pay the cost, so that the library can inform him by post of the arrival of the book. Otherwise, he may ask that the book be held for him, and he will appear personally on the day it is due.

The call-slip system is one of the simplest methods of charging a book to a borrower. In very small libraries it can be used successfully as the sole record of a loan by stamping it with the date of issue or the date for the return of the book and filing it alphabetically under the author's name. The borrower is then told how long he may have the book; the call slip is his receipt for it. When the

book is returned, the borrower waits while the call slip is withdrawn from the file. If the slip and book match, and the book is not overdue, the slip is cancelled and may be returned to the borrower; the book is returned to its place on the shelves.

This simple procedure is not effective, however, in a library which issues several hundred books daily. It is too slow, and it tends to create crowding and waiting at the loan desk while books are being checked on return. Librarians have therefore almost ceased to use it for external loans and have eliminated the need for borrowers to wait for their receipts. Instances of late returns, or of failure to return borrowed books, are usually found by systematic, regular inspections of the records of outstanding books, and borrowers are notified accordingly.

A commonly used system involves the use of a book card and a date due slip. Before it leaves the cataloguing department, each book which is designed to be lent for home use has pasted in it a book pocket and a date due slip. A book card, approximately $3 \times 5$ inches in area and designed to fit into the pocket, has typed on it the call number, author's name and title of the book and its accession number. The same information is typed on the book pocket. Thus each book is prepared with its own loan records. When the book is issued, the borrower may be asked to sign the book card or his name or identifying number may be stamped on it if a mechanical system is used. The book card is also stamped with the date by which the book is to be returned, and the due date is stamped on the date due slip as a reminder. The book card is then filed alphabetically by author, or it may be filed by date due or call number, according to the requirements of the local system. In this procedure the book card contains the cumulative record of the use of the book. Figure 5 shows illustrations of the call slip and loan records.

When the volume of loans rises above 2,000 per day, it is time to find a faster and more efficient loan system than the one just described. Various new systems have been developed in recent years [5, 6].

Libraries usually provide for loan renewals by withdrawing the record of loan and re-dating it, unless another borrower has reserved the book in the meantime.

Borrowers who return books late are often charged a small fine for each day the book is overdue. The fines are designed to discourage late returns. When fines are assessed it is customary to issue the borrower a receipt. The duplicate record in the permanent receipt book can provide the necessary financial record of receipts. Faculties are usually exempted from paying fines.

It is advisable to keep statistics of loans. These records are often helpful in determining the volume and character of use of the library. Statistics are often tallied on a form which is arranged for

Call No. Call slip

341.7
N653D3

Vol.

Author Nicolson, H.G.
Print

Title Diplomacy

To locate this book, check the Visible File of Reserve books, the Stacks File, and the open shelves. If listed in the Stacks File, apply at the Office of the appropriate subject library; after 5 and on Saturday, apply at the Social Science Library office.

Name John Smith
Print

Address 62 Beech Ave.
Street

Town Flushing 67, N.Y.

*Call slip*

341.7
N653D3

**Nicolson, *Sir* Harold George, 1886–**

Diplomacy. 3d ed. London, New York, Oxford University Press, 1963.

268 p. 17 cm. (The Home university library of modern knowledge, 192)

Bibliography: p. 263.

1. Diplomacy.

JX1662.N5 1963 341.7 63-24986

Library of Congress 15

DATE DUE

15 June 1964

*Pasted in book*

341.7
N653D3
Nicolson, Sir Harold G.
Diplomacy. 3d ed.

341.7
N653D3

Nicolson, Sir Harold G.
Diplomacy. 3d ed.

15 June 1964 John Smith

*Book card*
Record of loan. Is removed from book at time of loan and filed

*Book pocket*
Pasted in book

Fig. 5. The call slip and the loan records.

daily entries under broad subject classes, the entries being made two or three times an hour, before the book cards for books issued are filed.

Since the circulation department is usually in charge of the general book-stock, it is sometimes assigned the task of conducting an inventory. The cards from the shelf-list that is maintained in the cataloguing department are used for this purpose. When the inventory reveals a book missing from the shelves for which no record is found in the file of outstanding loans, an additional search is made to determine whether the book has been mis-shelved or is at the bindery. If thorough search fails to reveal the book or a record of it, the book may be declared missing or lost. Some libraries declare it missing and then wait a few months to make another search on the assumption it may turn up in the meanwhile. When a book is finally declared lost all records have to be changed accordingly. A similar procedure is followed when a book requested by a reader cannot be located on the shelves, or in the file of outstanding loans. Two further observations should be made here. First, regular inventories of the entire book-stock should not be undertaken in large libraries. The cost of conducting the inventory in such circumstances usually outweighs its results. Spot checks of certain parts of the collection, such as the reference section, can be very useful in estimating the rate of loss and determining its significance. In the case of reference books, it is even more justified, as the loss of an important ready reference item ought to be remedied as soon as possible. Secondly, the university or government authorities should not hold the university librarian financially responsible for missing or lost items unless it is evident that the losses can be directly traced to malfeasance. Financial liability for losses is one of the strongest factors which have inhibited librarians in certain countries from giving their students and faculties the desirable free and convenient access to the bookshelves.

The period of loan varies considerably among libraries. For books in very great demand, as may be the case where teachers assign certain readings to their classes, the loan period may need to be two to three hours, and books so restricted may be segregated behind the loan desk to control their use. If the number of such books is great enough to require one or more full-time assistants to deal with them, it may be desirable to open what libraries often call a reserved-book room, a special area where assigned books are issued and read. For books that are not in great demand, a two-to-three-week loan period is desirable. Faculty members are usually permitted to borrow for longer periods. All books, whether borrowed by students or the faculty, should be subject to recall.

While borrowing materials for use outside the library is encouraged, it is customary to restrict to use within the library: reference

books, periodicals, rare and precious books and manuscripts, and certain standard works, which, while not strictly reference materials in terms of their organization, are used as reference books. Archival materials are also among restricted items.

*Browsing collections* are usually designed to attract students to the library and to encourage them to extend the range of their voluntary reading. A well-selected collection can be a very attractive lure indeed, but the object of the library service should be to make the whole library so inviting that students will be drawn to it. This is not a purely physical matter. For while a well-designed building, well-lighted and ventilated and comfortably furnished, is conducive to high library use, it is the character of its collections and the degree of accessibility to them that are of paramount importance. In this connexion, small displays of important new acquisitions and book exhibitions built around themes of interest can be very instructive and inspirational.

*Assisting students* in the use of the catalogue and in the selection of books, and compiling reading lists, are more commonly activities of a reference rather than a circulation department. If the librarian in charge of circulation has the time and the opportunity he may assist in some of these ways.

The organization and administration of circulation activities requires the services of a trained librarian to carry out and recommend policies and procedures and to train and supervise the staff and organize the work. But apart from these activities, most of the work is clearly clerical and manual in nature. It is necessary, consequently, to provide an adequate non-professional staff for the circulation service.

These activities, like those of the reference service which will be described in the following paragraphs, may be performed in greater or lesser degree in all units of the library whether the library is centralized or decentralized. Centralization is likely to bring a greater degree of uniformity into the procedures and rules and to assure wider accessibility of materials. But separately administered units, like law, engineering and medical schools, can also provide a wide range of circulation services. Whatever the type of organization may be, the central aim remains the same: 'to get into the hands of the reader the book he wants when he wants it'.

## REFERENCE SERVICE

Various aspects of reference service have been discussed in preceding chapters.

The objective of the reference service is to assist readers on all levels to obtain the literature or information they require by serving

as guide, interpreter and information agency. The reference librarian thus becomes a human intermediary between reader and book. The reference function is not limited to a single librarian or department; it is performed to a degree by all librarians who deal directly with readers. In departmental and subject divisional libraries it may become highly specialized.

*Organization.* In small college and university libraries reference and circulation functions may be combined in one department under a single librarian. This should be avoided, if possible, as it is difficult to provide an adequate range of reference services in such circumstances. Many libraries have separate reference and circulation departments, the heads of which report directly to the chief librarian. Larger libraries may place these departments in a division of readers' services, in which case their heads will report to the division head, while he reports to the chief librarian.

The question of centralization versus decentralization applies to the reference service as well as to other library functions. The small university with a compact physical arrangement of buildings and a central library should have a central reference service upon which all library and academic departments and the whole university clientele can rely for assistance. If its library is organized along subject divisional lines it may be desirable to divide the reference collections and services accordingly. The central reference department in such a situation will maintain the collections of trade and national bibliographies, general encyclopaedias, handbooks, periodical indexes, etc., while the specialized bibliographies, encyclopaedias, indexes, etc., will be housed in the appropriate divisional libraries. In such circumstances, the central department may act as an information centre; a clearing house for inquiries and interlibrary loans, and as a co-ordinating agency for all reference and bibliographical services. In universities with widely dispersed library units each library should have a reference service, but complete decentralization should be avoided, if possible; co-ordination and co-operation among these units and the main library should be strongly encouraged.

*Relation to other services.* The reference service is closely related to other services of the library. It selects books for the reference collection and is therefore interested in their acquisition and preparation for use. It assists readers in the use of the library catalogues and is therefore in a position to notice errors or deficiencies which should be brought to the attention of the catalogue department. It guides students in the selection of books and therefore has a legitimate concern about the activities of the circulation department. The

reference department occupies a pivotal position in relation to the other departments and outside units of the library.

*Qualifications of reference personnel.* In view of the wide range and character of his activities, a reference librarian should be an exceptionally well-qualified person. He should be thoroughly acquainted with major reference works. He should have an alert, inquiring mind and the ability and desire to communicate effectively with those who request his services. He should be fully aware of the aims and programmes of the university and the library. His education, training and experience should be such as to enable him to develop good work techniques, to understand research methodology and to make efficient personal use of the tools of library research. He must be able to work effectively with the faculty as well as students, and, as mentioned in the preceding paragraph, with his colleagues on the library staff.

*The reference collections.* The fundamental importance of strong reference collections cannot be overemphasized. At the same time, it should be said that the whole library may be used for reference purposes by the skilful reference librarian. In the course of his work, therefore, the reference librarian may find significant gaps in the general book collections; he should be encouraged to bring these to the attention of the chief librarian or his deputy and to make recommendations for filling them. But his main responsibility will be for building up the reference collections. In addition to the reference materials which have been mentioned previously, the reference department frequently builds and maintains files of ephemera (newspaper clippings, pamphlets, photographs); it collects information circulars and bulletins describing foreign, national and local library resources and interlibrary loan services; and it may maintain uncatalogued collections of government documents. The development and maintenance of the reference collections should be a continuous process, involving a degree of weeding—discarding obsolete materials—as well as growth.

*Interlibrary use.* Often the reference department is given the responsibility of representing the library in various types of interlibrary use. Interlibrary loans are one type. In countries with small library resources, such loans may be highly necessary on behalf of students on all levels. Another type is the direct personal use of a library, by students and faculties from another institution. This type of use may need to be controlled in some instances. When controls are established it should be by mutual agreement among the libraries involved.

*Research and the reference service.* The reference department may assist research by: building appropriate collections of bibliographies, indexes, abstracts, translations, etc.; compiling special bibliographies and conducting literature searches for individual researchers; borrowing from other libraries; purchasing photocopies and reprints of articles and books; performing abstracting and translation services; and related services. In some circumstances, the library may find it feasible to establish its own documentation service as an integral part of its reference service. Reference librarians with traditional library science training and with appropriate subject knowledge can provide a documentation service. Use of sophisticated machine techniques will probably require further training.

The full range of these services cannot be provided, however, unless the university is willing to give the library adequate funds for special acquisitions, extensive interlibrary loans, purchase of photocopies, etc. and for the number and type of library personnel that may be required.

NOTES

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CHAPTER IX

# PROVIDING AUXILIARY AND SUPPLEMENTARY SERVICES

The university library provides certain auxiliary services directly related to the performance of its basic functions, and it may provide additional or supplementary services to enhance its contribution to the university community. In this context, auxiliary services include the activities associated with: conservation of library materials; photographic and other copying services; provision of reading equipment for materials in microform; maintenance of furniture and equipment; and transportation and communications facilities for intralibrary purposes. Supplementary services may include: a variety of audiovisual services; special facilities and services for advanced students, researchers and scholars; exhibitions, lectures, concerts and dramatic performances; rental collections; browsing areas; abstracting and translating services; printed book catalogues; co-operative projects; and others.

The distinctions between auxiliary and supplementary services are relative: what one library considers supplementary or additional, another may call auxiliary or essential. The quality and range of its services depends not only on the interest, willingness and competence of the library's staff but also on its standing in the university community and the financial support of governing authorities.

Since many of the auxiliary and supplementary services have already been mentioned in relation to the major functions of the library, this chapter will be devoted to the more important services which may require some further explanation. Co-operative activities will be dealt with separately in the following chapter.

## CONSERVATION OF THE COLLECTIONS

All of the libraries of the university share responsibility for the conservation of their collections. Conservation activities begin with the acquisition of materials and apply to the handling of materials during the process of preparation for use, their storage and their use by readers.

It is essential to provide adequate storage space. Storage areas should be well ventilated, and safeguarded against excessive dampness or aridity, direct sunlight, heavy dust penetration and book-destroying insects, fungi, rodents, etc. W. J. Plumbe says in this connexion: 'Library materials are best preserved in a relative humidity of between 40 and 65 per cent. Above this RH, microfungi are likely to grow on book covers, especially in a warm climate. The air temperature is less important. In a temperate climate 60 deg. F. or thereabouts is regarded as suitable; in the United States and the tropics 85 deg. F. is regarded as not too hot, although 70–75 deg. F., combined with an RH of about 50 per cent, is the best temperature range for permanent preservation of paper.' [1] In the Lenin State Library, 'The temperature in the stack-rooms is kept at 16–18 deg. C. ( ±2 deg.) and the relative humidity of the air at 50–60 per cent ( ±5). . . . above 65 per cent the books may become mouldy.' [2]

Books should be shelved without overcrowding, shelf supports should be provided and sufficient space should be left for additions in order to reduce the amount of necessary shifting.

Regular inspection of the books should be made, especially in countries where insects and fungi abound in libraries. Books requiring treatment should be removed from the shelves and treated accordingly. The staff of the Scientific Research Laboratory, Lenin State Library, has used pentachlorophenol sodium salt successfully as a fungicide, and it recommends the use of bactericidal equipment for disinfecting the air in stack-rooms [3]. For insect control it reports: 'The most effective, safest and most convenient insecticide for libraries is DDT, which is used in powder, suspension or solution form depending on the insect population of the stack-room.' [4] Plumbe, who has observed conditions in African and Asian libraries has written helpful articles and a book on the preservation of library materials [5, 6, 7]. He reports the successful use of varnishes and lacquers on books, library shelves, furniture and fittings to 'rid libraries of cockroaches, silverfish, and perhaps bookworms' [8]. Librarians who must deal with the problems of insect and fungi control may consult a variety of additional sources some of which are listed in the bibliography.

Applied to incoming materials, conservation begins with acquisition. All library materials should be inspected at this point and those that require special treatment should be identified. In countries where there is a high incidence of book attacks, some libraries place suspected materials in a fumigation chamber shortly after their receipt. Plumbe mentions several libraries in this connexion [9]. Paperbound books which require binding should be marked appropriately and sent to the bindery after passing through the cataloguing process. Rare, precious and fragile materials, which require

some form of binding or other special treatment, and unbound volumes of periodicals should be similarly identified.

Rare books, manuscripts and similar materials are often segregated for safe-keeping in special rooms or areas where suitable atmospheric conditions are provided for their preservation and controls are instituted to ensure careful handling and to prevent losses.

The readers' service departments—circulation, reference, periodicals, special collections, departmental and divisional libraries—have a special obligation to ensure that library materials are handled carefully and to identify materials which require binding and rebinding, mending or repair. Decisions to treat materials in one of these ways should be made in accordance with established guidelines. Basically, any library item which is deemed important enough to retain in the collections should be kept in a good state of preservation.

*Binding, mending and repair.* Because these activities apply to all library materials wherever they may be located in the university library, it is desirable to centralize their administration under the authority of a single department. This will ensure uniform methods and standards and make for greater efficiency and economy. The responsibility is often assigned to a technical services unit.

Small libraries often limit themselves to simple mending and repair work and send materials requiring binding to a commercial bindery. In countries where commercial binderies are non-existent or geographically far distant the library may be compelled to do at least part of its own binding. In general, when the volume of binding work is large enough so that it is cheaper for the library to do its own than to send it out, establishment of a library binding department should be considered.

The head of the bindery should obviously be thorougly acquainted with all phases of binding work and he should be capable of organizing and directing the work of subordinates. A detailed programme should be drawn up, specifying the scope and nature of activities, the directions for librarians to follow in preparing materials to be sent to the bindery, the scheduling of the work to ensure that materials in heavy demand are not withdrawn from the bookstock prematurely and the standards and specifications which the bindery will be expected to meet. Where libraries have their own binderies, it is customary to assign to them related activities such as mending and repair, preparing slip cases and portfolios, lamination and rehabilitation of fragile documents.

The binding programme is also important where the library uses a commercial binder. Arrangements need to be made in advance to ensure that all materials are properly prepared, that instructions are mutually acceptable to the bindery and library and that the

work will be done according to certain schedules, standards and specifications.

## PHOTOGRAPHIC AND COPYING SERVICES

Comparatively recent developments in photographic and other reproduction services have exerted a tremendous impact on certain areas of library service. Microphotography has made it possible to bring within the reach of even the smallest libraries, copies of journals, books, manuscripts and other documents, the originals of which have been long out of print and unavailable or too expensive for the library to acquire. Microfilm printing devices can now reproduce within seconds from film legible enlargements on paper of a single page or of a whole article or book. Photography combined with xerography can reproduce quickly, and at relatively low cost, large card catalogues. Xerography, alone, can be used to produce catalogues in book form, reading lists and other bibliographical publications. Microphotography and processes like xerography have vastly improved—perhaps revolutionized—interlibrary lending and copying services. 'The use of microphotographs instead of interlibrary loans has the following advantages', according to Alfred Günther: 'The original stays in the library; it remains accessible, is not in danger of being lost in transit and suffers no wear and tear. Microfilm strips and microfiches can be mailed in simple envelopes at low postage rates which allow of airmail transmission. Finally, microphotographs need not be returned, and therefore they do not involve checking loan files.' [10] A similar statement could be made about xerography and certain other 'quick-copying' methods in this connexion.

'Reprography'—a term increasingly applied to copying processes as a whole—has served to expedite the transmission of knowledge on a world-wide scale, and to improve library resources and services accordingly. It is highly desirable, therefore, that university libraries, especially those in developing countries, should avail themselves of these benefits.

*Range of copying services.* In developing countries, the co-operative use of total available library resources would appear to be so desirable that each individual library might be justified in providing a copying service. A photocopier and a combination reader-printer capable of producing paper enlargements from various types of microfilms and microcards may meet most of their needs. In addition, a duplicating machine of either the stencil or spirit type may be used effectively for duplicating catalogue cards, producing news bulletins, bibliographies and accessions lists.

There is now wide library use of office copying equipment, so called because it is frequently portable, does not require special lighting or installation and can be used very effectively in offices by persons without specialized technical training. H. R. Verry describes a variety of methods of reproduction. Among them, he indicates, there is a trend toward greater use of electrostatic methods: 'Divided into two main types, these consist of xerography, which uses a selenium plate that receives the electrostatic charge, and Electrofax, in which the paper itself is coated to receive the charge.' [11] Equipment of several types is available. Among the most popular models for library use is the Xerox 914, which is used for copying from books as well as single sheets. Copies can be produced in a few seconds, fully ready for use on any paper stock, including coated stencils, which may be used in offset printing presses. Such equipment is most economical when it is operated as a central service and utilized as fully as possible.

In arriving at a decision with respect to the range of copying services, the university librarian needs first to be aware of the capabilities of existing devices; for this he can turn to the rather extensive literature on the subject. If conditions permit, he should inspect the devices that are being used in neighbouring libraries and inquire about the quality of work produced, the costs, problems of maintenance and repair, etc. In some countries the difficulty of procuring adequate maintenance service, spare parts and supplies can be an important factor in rejecting an otherwise adequate device.

*Scope and organization.* If a department of copying services is to be organized, its scope, responsibilities and authority should be established from the outset. Responsibilities may include maintenance and repair of film-reading equipment. To ensure high quality work and reasonable efficiency, competent technical personnel will be required. The head of the department should have some administrative as well as technical qualifications for he will have to plan and oversee the work and maintain good working relations with other library departments. The department logically falls within the technical services area, just as binding does.

*Business and legal aspects.* The copying service should prepare its own budget for the approval of the university librarian, and it is desirable to give it authority to order supplies and equipment. It is usual for libraries to charge fees for copying services; these are generally based on the cost of operating the service, exclusive of equipment and housing. Proper accounts should be kept of all department income and disbursements and arrangements made for frequent, regular, money deposits.

The legal implications of the copying service are mainly associated with the observance of copyright laws and agreements. In a survey of photographic reproduction and copyright, the Bibliothèque Nationale, Paris, reached this conclusion: 'Although there are differences . . . one common trend emerges in all the practical positions adopted. On the one hand, all the establishments are concerned with the protection of copyright; on the other, they all apply this principle with sufficient flexibility to avoid hampering scientific work. It has always been an accepted practice to allow research workers to take notes; the same concession is therefore extended to photographic reproduction.' [12] Its report indicated further that libraries should take precautions to ensure that no deliberate violations occur. Some libraries require their clients to sign a statement of responsibility in this connexion. But practices in these respects are not uniform.

Unesco has carried on a continuous effort to achieve common agreement on copyright observance and reproduction privileges.

*Physical quarters.* Many new library buildings have special facilities for copying services. Günther's article contains suggested layouts of small and medium-size laboratories as well as illustrations of some of the items of equipment. Fussler's book is also helpful in these respects [13]. It is suggested that an air temperature of 70 deg. F. and relative humidity of 50 per cent be maintained in the department's quarters.

## MICROFORM PROJECTORS

Microform projectors are necessary, of course, if the library contains microphotographed materials. Suitable equipment should be provided for the basic forms: films, of various sizes and shapes, and cards. Major equipment manufacturers or their representatives may be found in most countries. While this type of equipment is not highly complex it requires careful handling and regular maintenance.

## AUDIO-VISUAL SERVICES

Audio-visual services are found more frequently in public than in university libraries, but their development in the latter is increasing. In support of instruction, university libraries may provide motion picture films (mainly of the documentary type), filmstrips, sound tapes, gramophone records, picture files, lantern slides and other aids in addition to microfilms. For each of these, appropriate

projection or listening equipment must also be provided and in some instances special physical facilities. A separate art library, for example, may house visual materials and equipment in addition to books and journals. For the display of art objects it may have special exhibition space. A fully equipped music library may house, in addition to books and scores, gramophone records and listening equipment. In some instances, listening facilities are provided for individuals, as well as groups. Where no special physical arrangements are possible, it may still be feasible to provide some of these services.

## EXHIBITIONS, CONCERTS, LECTURES AND DRAMATIC PERFORMANCES

Well-designed exhibitions of materials from the library's collections are generally regarded as desirable devices for attracting readers and informing them about the nature of the library's holdings. A good exhibition can be a valuable instructional and inspirational device.

If the library has a lecture-room, it may be possible to provide concerts, lectures and even dramatic performances from time to time. A faculty or student committee on cultural programmes may be organized on an *ad hoc* basis to work with a librarian in planning and conducting such programmes. These activities might be regarded by some as extraneous to the purposes of a university library but they definitely are not. As a cultural as well as educational institution the library is justified in undertaking such activity.

## SPECIAL FACILITIES AND SERVICES FOR ADVANCED STUDENTS AND SCHOLARS

Advanced students, scholars and research workers may not only require special physical facilities such as private study areas in which they may keep their books, writing equipment and supplies, but also abstracting and translating services and advanced bibliographical assistance. Physical arrangements may be made for them in the book-stacks and in adjacent rooms. Abstracting and translating services are legitimate but very costly to provide. Yet the need for them is quite apparent in many countries where the principal language is not one that is widely used in the world literatures.

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CHAPTER X

# CO-OPERATIVE ACTIVITIES

Facilitating access to knowledge is the main purpose of co-operative activities within, between and among libraries. Even the largest libraries must engage in co-operative activities to augment their resources, for today it is impossible for any library to be absolutely comprehensive in all fields. Even keeping up with the ever rising flow of new publications in fields of particular interest is beyond the capacity of most libraries. Since this condition applies to libraries in highly developed countries, it also applies with compelling force to the less developed countries.

Writing about British libraries, many of which are rich in resources, McColvin and Revie say: 'There is no one library—not even the British Museum—in which a reader could find everything he might require; and, if there were, only an infinitesimal proportion of readers could go there. Yet any reader, anywhere, might need any book. How can he get it? The answer is: "By co-operation".' [1] The authors then go on to describe the operation of the National Central Library—founded in 1916—which conducts a widely admired nation-wide interlibrary loan system. Its services are now supplemented by the National Lending Library for Science and Technology, whose purpose 'is to collect and make available to organizations in the United Kingdom the scientific literature of the world' [2]. Denmark, a small country with many excellent libraries, has a national interlibrary loan system for public libraries. Research and special libraries co-operate in an acquisition programme based on subject specializations, and 'handle their own national and international lending and borrowing directly and individually' [3].

Librarians in many countries are keenly aware of the advantages of and need for co-ordination and co-operation. The participants in the Regional Seminar on Bibliography, Documentation and Exchange of Publications in Latin America, which was held under the auspices of Unesco in Mexico City, 1960, recommended: 'In view of current developments in science and technology, which make adequate and efficient bibliographical and documentation services a necessity: . . . there should be a co-ordination of and broader co-operation among the university libraries, documentation centres

and specialized libraries of each country . . . [and] programmes should be drawn up with a view to: (a) ensuring the better utilization of bibliographical and documentation sources; (b) establishing joint plans for the selection and acquisition of bibliographical material; (c) intensifying interlibrary loans at the national and international levels and encouraging the creation and development of services for the photoreproduction of documents; (d) ensuring that all necessary steps are taken to provide in-service training for staff and to train bibliographers and documentalists competent to assume the complex responsibilities which this work is likely to involve in the future.' [4] The Regional Seminar on the Development of University Libraries in Latin America (Mendoza (Argentina), 1962) 'concluded that insufficient co-operation between libraries in Latin America was detrimental to the standard and development of library services' and 'that Latin American librarians should make co-operation their watchword on all fields of library, book, and document work' [5]. A nation-wide system of library services and library co-operation was recommended by the Regional Seminar on Library Development in Arabic-speaking States, which also 'strongly favoured a regional approach to library development' [6].

These are only a few representative references to the extensive literature on the subject, but they should suffice to emphasize the basic importance of co-operation in facilitating access to knowledge.

Co-operation and co-ordination may be introduced on any one or all of three levels of library activity: within the university; among university and other libraries in a country; and on an international level. This point may be illustrated by considering interlibrary use. It includes: borrowing and lending books between libraries; providing photocopies of articles, books, etc.; and permitting faculty and students from one university to use the library of another. Within the university, it may require an agreement among all libraries to lend books to each other, to provide photocopies of materials when required, and to permit all members of the university community, regardless of their status or faculty affiliation, to use all university libraries. In such situations, a union catalogue of library holdings would be highly desirable as a location device, and a central photographic service might be helpful, except that libraries far away from the main library might require some copying equipment.

Among university libraries within a country agreements may be made covering various aspects of interlibrary use. On a country-wide basis, an interlibrary loan code would be advisable. This should set forth the conditions under which loans would be made: the types of materials to be included and excluded; the charges, if any; the clientele to be served; the length of loan period; the forms[1]

1. See Figure 6 for a sample of a widely used form for interlibrary loans.

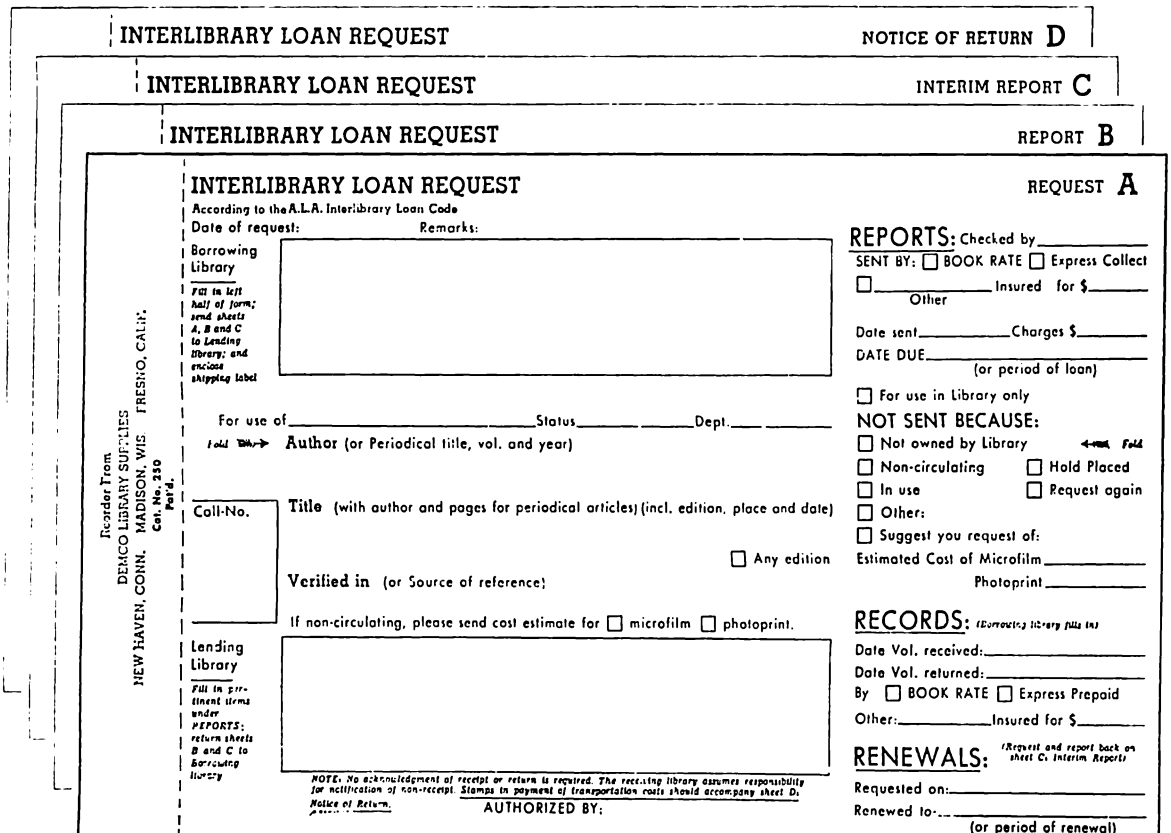


Fig. 6. Sample of interlibrary loan request form.

to be used in making requests and related matters. Interlibrary loan codes are frequently adopted by national library associations. Similarly, for copying services, some agreement would be needed as to charges, types of materials, etc. Arrangements for direct use by readers may require suitable identification of readers, provisions for borrowing and decisions about responsibility for late return or loss of books, among others. Interlibrary loans and copying services are often centralized in the main library of each university. This administrative arrangement provides a degree of internal control over loans and loan requests and is conducive to greater efficiency and economy than independent activity by each departmental or faculty library. Exceptions should be made, however, where centralization will retard, rather than expedite and improve such services.

Arrangements for interlibrary use on an international basis may need to be made on the national as well as international level. In some countries it is customary for the national library or for a designated university library to serve as sole agency for international interlibrary loans and copying services. Direct use of libraries by readers is usually handled on an individual basis between libraries. Readers who wish to visit a foreign library are advised to obtain from their own librarian a letter of introduction identifying the bearer, describing the materials he desires to examine and requesting that he be given permission accordingly.

Interlibrary use can be an exceedingly valuable way of utilizing library resources for the common good. Scrupulous care should be taken, however, that working agreements are fully observed and that libraries do not take undue advantage of the privilege. University and government authorities who may be involved should give strong support to such agreements.

## SCOPE OF CO-OPERATIVE ACTIVITIES

In addition to interlibrary use, the following types of co-operative activities should be considered for their relevance to local and national needs: co-operative and centralized acquisitions; co-operative and centralized cataloguing; development of union catalogues and bibliographical centres; documentation centres; compilation and distribution of bibliographies and union lists; co-operative reference services; co-operative storage centres; co-operative photographic services; and international activities and services.

*Acquisition activities.* Collective action in building library resources is not easy to introduce and maintain, but it is essential to ensure adequate library resources within and among universities and in

the country in general. It may require centralized acquisition services of several kinds, a degree of co-ordination which may extend to the national level and specialization in collecting. If book-purchasing activities can be centralized or co-ordinated within the universities, unnecessary duplication of books may be avoided, better book selection may be encouraged and significant economies as well as a faster flow of materials may be achieved.

Acquisition of foreign materials may present difficulties, some of which may be surmounted by centralized procurement on a national or regional level. The Regional Seminar on Library Development in South Asia (Delhi, 1960), citing some of these problems, recommended 'a national system of centralized purchase of foreign materials. . . . For university libraries, a co-operative acquisition plan might be devised along the lines of the Farmington Plan, taking into account their subject specialization' [7].

The Farmington Plan is a voluntary agreement among United States research libraries. 'Its objective is to make sure that at least one copy of each new foreign book and pamphlet that might reasonably be expected to interest a research worker in the United States will be acquired by an American library, promptly listed in the Union Catalog at the Library of Congress, and made available by interlibrary loan or photographic reproduction.' [8] Similar in aim, but more comprehensive in scope than the Farmington Plan, is the programme of the Deutsche Forschungsgemeinschaft (German Research Association) for co-ordinating acquisitions of research libraries in the Federal Republic of Germany [9]. These programmes have been operating since 1948 and 1949 respectively. More recently an international system of co-operative acquisition which is now known as the Scandia Plan was established jointly by Denmark, Finland, Norway and Sweden. Based on voluntary co-operation, the plan is operated at the expense of the participating libraries, each library deciding independently its own acquisition and exchange policy, except that 'the allocation of special subject fields is made on the basis of a comparative evaluation of existing collections and fields of interest in the different libraries' [10].

In addition to these broadly conceived national and international acquisition programmes there are many co-operative acquisitional activities that are confined to a few neighbouring libraries. These may include co-operative acquisitions of translations, manuscripts, historical documents, scientific reports, reference and bibliographical publications, newspapers and collections in microform.

Possible agencies of co-ordination are national libraries, associations of university libraries, documentation centres, special libraries associations and other professional library associations. Governments should take a leading role in this area.

*Co-operative and centralized cataloguing.* A particular book may be received by several libraries in a university and by many university and other libraries in a country. Should each library catalogue this book individually, or would it be better for all if one did it and distributed copies of the catalogue description to all who have acquired the book? When hundreds or thousands of the same books are being received in many libraries the answer would seem quite obvious: cataloguing should be done centrally and co-operatively to avoid wasteful duplication of effort. Furthermore, if it is performed in this way, greater uniformity of catalogue descriptions will result, better records will be possible, and the services of subject and linguistic specialists and classification experts may be made available for the common good.

In some countries, cataloguing is centralized to a high degree in the national library, which may isssue printed catalogue cards for all of the books that pass through its cataloguing department. University and other libraries may buy these cards, when available, for books they have purchased. If the national library has not catalogued a particular book that has been acquired by the university library it must be catalogued locally, of course. Through co-operative arrangements with the national library, other libraries may send copies of their catalogue cards to it for deposit in the national union catalogue and for possible reproduction and wide distribution. Thus the central service may be supplemented by co-operating libraries.

In the U.S.S.R., 'The All-Union Book Chamber, which has undertaken the important task of drawing up union catalogues, publishes printed catalogue cards for all books published in the U.S.S.R. whether in Russian or a foreign language, for all articles appearing in reviews or series, and for all articles, documents and critical abstracts published in the newspapers of the capital.' [11]

The United States Library of Congress has been operating a centralized system of catalogue card production since 1902. But, 'Co-operative cataloguing is still considered essential if an effective job is to be done for university and other libraries by a centralized agency, such as the Library of Congress', according to Wilson and Tauber [12].

Centralization and co-operation in cataloguing should take place within the university in so far as it is practicable, and the university library should take full advantage of, and be permitted to participate in, cataloguing services of the type mentioned above.

*Union catalogues and bibliographical centres.* A well-organized and co-ordinated university library will probably have a high degree of centralization of acquisition and cataloguing activities. A union catalogue representing all the holdings of the various library units

of the university will probably be maintained. Library units will be able to consult the union catalogue directly for locations of needed materials or to call upon the main library for such information by telephone or post. The main library may also assist its outlying units by checking bibliographical entries, identifying obscure items and in other ways. All of these and related activities may also be performed on behalf of a group of university and other libraries in a national or regional union catalogue and bibliographical centre. Often such a centre is operated by the national library. Such services are widely available in Europe and the United States but need to be further developed in most of the countries of Africa, Asia and Latin America.

*Documentation centres.* While most university libraries do not operate documentation centres, they should co-operate fully with those that exist in their respective countries and make use of their services. This may require libraries to lend materials to the centres and to supply photocopies of articles when requested. Documentation centres have become increasingly valuable as resource centres for periodical publications in science and technology and, to a degree, in the social sciences. Through affiliations with similar agencies and research libraries throughout the world, and their indexing, abstracting and translation services, they are capable of becoming strong allies of university libraries in supporting university research. At a regional meeting of national research organizations in South-East Asia, which was convened by the Unesco Science Co-operation Office in December 1961, it was emphasized that universities should undertake active research programmes and train students in research methods; that 'universities must occupy a position of high status in the national research scheme and there should be the closest collaboration between them and the national research organizations' [13]. A major vehicle of collaboration with research organizations such as documentation centres is the university library.

*Bibliographies and union lists.* University libraries may co-operate on several levels in the compilation of bibliographies and union lists. Among the libraries of a single university it may be possible through joint effort to produce a union list of periodical holdings and to distribute it among faculty members and graduate students. The same list could be used in interuniversity library lending agreements, each participating university supplying its own list. A large group of participating university libraries could produce a consolidated union list. Similarly, lists of special holdings of manuscript materials, newspapers and rare books may be compiled on local or national levels. Bibliographies may range from catalogues of special collections and lists of holdings in certain subjects to complete library catalogues in book form. University libraries should be alert

to the possibilities of this type of co-operative activity for they can not only help their clientele to gain easier access to their own collections thereby, but by participating in national or regional enterprises they can aid in bringing the resources of the entire nation or region to the service of their readers. This is a fruitful area of activity for library associations.

*Co-operative reference services.* Like the other possible forms of co-operative activity which have been mentioned so far, co-operative reference service should take place among the libraries of a university. If the central university library has a strong collection of reference works and bibliographies and a good general collection it automatically becomes the reference centre of the university. It should encourage the librarians of its associated libraries to turn to it for assistance. Similarly, the main library should be able to call upon the specialists in its outlying libraries for information and assistance as required. The same holds true for interuniversity and nation-wide reference services. Relationships among the libraries of a country should permit a free flow of inquiries in all directions.

*Co-operative storage centres.* Developing countries are unlikely to need storage centres in the way that some of the great libraries of highly developed countries require them. But problems of storage may arise in connexion with rare and fragile materials—manuscripts, historical documents, ancient books—which require special quarters for their preservation and security. Where a university library has a new building with adequate facilities for storage of such materials it may be able to store the materials of other libraries which do not have facilities. The national library may be a desirable centre for such purposes.

*Co-operative photographic services.* The main university library may be able to serve not only its constituent libraries in its photographic department but neighbouring libraries as well. Here co-operative relationships with well-equipped documentation centres and the national library may be indicated. Recent improvements in copying devices make it practical for many libraries to offer copying services to each other without having to set up elaborate and costly technical facilities. Such services may be international as well as national or local in scope.

*International activities and services.* University libraries may participate in a wide variety of international co-operative activities and services including gifts and exchanges of library materials, translation services, copying services, compilation of national bibliographies, professional training programmes, international conferences,

documentation centres and interlibrary lending. Participation may be direct (library to library) or indirect (through library associations, national libraries or other national organizations).

University librarians should be aware of the activities of such organizations as Unesco, the International Federation of Library Associations (IFLA), the International Federation for Documentation (FID), the International Council on Archives (ICA), the International Organization for Standardization (ISO), and certain other organizations that are interested in specialized aspects of library science. The publications of some of these organizations may be very useful not only for the librarian's professional development but also to keep him informed of developments and trends, to assist him in solving his technical problems and to apprise him of opportunities for useful co-operative activities.

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10. Tveteraas, H. L. The Scandia Plan: a plan for co-operative acquisition of materials, *Unesco bulletin for libraries*, vol. 14, July-August 1960, pp. 153–6. See p. 153.
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12. Wilson, L. R.; Tauber, M. F. *The University library; the organization, administration, and functions of academic libraries.* 2nd ed. New York, Columbia University Press, 1956. 641 pp. (Columbia University studies in library service, No. 8.) See p. 458.
13. Science co-operation office for South-East Asia, in: International Association of Universities, *Bulletin*, vol. 10, August 1962, p. 230.

CHAPTER XI

# PLANNING AND EQUIPPING THE LIBRARY BUILDING

The university library building is a complex, specialized structure, the planning and equipping of which require a thorough understanding of library functions and requirements. Its design must be directly related to its present activities, yet be flexible and adaptable to future changes in the requirements for the library service.

In view of the availability of extensive literature on library buildings this chapter will mention certain major aspects of planning and equipping the library building, while referring the reader to selected references for more detailed information.

## FUNCTION OF THE LIBRARY

'Form ever follows function. This is the law. . . . The shape, form, outward expression, design or whatever we may choose, of the . . . building should in the very nature of things follow the function of the building. . . .' [1] This view, eloquently expressed and developed by Louis Henri Sullivan in 1896 was not fully appreciated by the architects of his time. Now, 'form follows function' is almost a commonplace saying among architects but it remains nonetheless important.

The successful library building is one which clearly and directly expresses and provides for the functions that are performed within it. To state these requirements in detail is clearly the role of the university librarian; it is a responsibility and privilege for which his professional education and experience should fit him above all others in the university.

## SOME GENERAL PRINCIPLES

The librarian and his colleagues on the building committee might well bear in mind some general principles of planning which could serve as criteria in the light of which the building plans can be critically reviewed. Five years before Sullivan's statement Charles C. Soule,

a librarian, offered a set of principles, of which some are still pertinent: 'Every library building should be planned especially for the kind of work to be done, and the community to be served. The interior arrangement should be planned before the exterior is considered. Convenience of arrangement should never be sacrificed to mere architectural effect. The plan should be adapted to probabilities and possibilities of growth and development. A library should be planned with a view to economical administration. The rooms for public use should be so arranged as to allow complete supervision with the fewest possible attendants. Modern library plans should provide accommodation for readers near the books they want to use, whatever system of shelving is adopted.' [2]

Climate is an important factor in the planning of library buildings, particularly in tropical countries. Recent articles by J. Rousset de Pina [3] and W. J. Plumbe [4] describe climatic conditions which should be considered by the architect and make specific suggestions for interior and exterior design, selection and treatment of the building site, building orientation, insect control and other important related subjects.

## THE SCOPE AND ORGANIZATION OF PLANNING ACTIVITIES

Planning can be broken down into three major activities as follows: preparation of the building programme; development and approval of preliminary plans; and approval of final plans and specifications. In each of these activities the university librarian should have a major role but it is of particular importance that he be closely associated with the first two. In the building programme he will describe the plan of library service and state in detail the spatial and technical requirements of the service. During the second stage of planning the librarian will need to visualize his activities and decide whether adequate provision is being made for them in the preliminary plans. Eventually a point will be reached where agreement has been achieved on all major problems and their solutions and the architect will be able to prepare final plans and specifications. After review by the librarian and the university authorities these final drawings and specifications will be revised, if necessary and prepared for submission to prospective builders.

In some universities an architect or a group of architects and engineers will be involved in all three stages of planning and they may, therefore, participate actively in the preparation of the building programme. It is essential, however, that the university librarian, possibly with the advice of a library consultant, should be given every opportunity to participate fully in all phases of planning.

*The building committee.* Planning should be a co-operative enterprise. It is desirable to form a small building committee whose membership should include representatives from the faculty and students, a representative of the university governing authority, the university librarian and the architect. Where the university employs an official to supervise administration of buildings, grounds and other university properties he might well be added to the committee. If the university librarian lacks experience in library buildings it would be desirable to appoint a library consultant to the committee; also, an architectural consultant could be added if his services are indicated. As a member of the planning team, the 'library building consultant will . . . be a key factor in interpreting the library's needs to the architect, and structural limitations to the librarian' [5].

*Responsibility of the building committee.* The building committee should be charged with the responsibility for ascertaining the library's needs and for accumulating the necessary planning data. It should consult as widely as necessary to determine these needs, taking into account the educational plans of the university. The committee should acquaint itself with the experience of other university libraries with respect to new buildings; if possible, it should visit some of the newer libraries and examine library building plans. With the assistance of the university librarian and the library consultant, if there is one, the committee should make detailed estimates of the requirements of the different library units which will perform their functions in the library building [6].

*The library building programme.* After the building committee has completed its planning it should set down in writing, for the guidance of the architect, a detailed, explicit statement of the requirements of the library. This statement may be prepared by the librarian or the library consultant, by the architect in consultation with the librarian or by the building committee itself. Recent experience indicates that librarians are playing an increasingly important role in the preparation of building programmes.

The programme should state at the outset the objectives of the institution and their implications for the library service. The clientele should be described briefly and some indication should be given of the needs of the main classes of library users.

This may be followed by a detailed analysis of readers' and staff activities. Diagrams illustrating the flow of work, especially in technical service departments, can be very helpful. Spatial relationships should be indicated as clearly as possible. This can be done by graphic means or by listing the main areas by floor.

Space requirements should be given in detail. These requirements may be stated under such headings as: space for books; space

for readers (seating); space for staff; and space required for other purposes.

A description of the interior of the building should be attempted for the guidance of the architect. Here the programme can specify the desirable general characteristics to be expressed in the interior; and it can discuss aesthetics and colour, space dimensions and ceiling heights, lighting fixtures, sun control, noise and traffic control, floor coverings, wall treatments, furniture and furnishings, elevators, stairways and booklifts; security and fire protection, etc.

If an appropriation has been made for the building it is desirable to mention it in the programme. Architects find cost figures helpful in determining the limitations within which they will have to work.

It will be important for the architect to receive a description of the site, which should be as explicit as possible. Plot plans, master plans and other graphic devices for showing the relationship of the proposed library to existing structures should be provided.

*The preliminary plans.* To many librarians the preparation of the preliminary plans represents the most important phase of the whole planning process. For it is here that the librarian must examine critically the architect's first drawings to determine whether adequate provision is being made for each library function and whether the building as a whole will be sufficiently flexible and expandable, so that it can accommodate itself to changing requirements, and be economical to operate. 'Attention to detail at this point in planning will produce a building relatively free from errors.' [7]

The architect may begin the process by presenting a sketch of the main floor for discussion. Here he will try to interpret the requirements of the building programme in visual terms. The first floor sketch will be discussed by the architect and the librarian and it will probably be followed by many more until agreement has been reached between them. Then the same procedure will be applied to the sketches for the other floors. At this point the architect and librarian may well find it profitable to visit other libraries, particularly some of similar type and size. But libraries of other types may also be viewed with profit, for their interior arrangements and furnishings may be suggestive. Now the architect may wish to draw the plans and add stairways, shaftways for elevators and booklifts, windows and other internal features. This is a point at which the preliminary plans may well be referred to a consulting architect and/or librarian if one has not been used previously, and to the supervisory staff of the library. Their first-hand knowledge of library needs can be invaluable. Detailed consideration of furniture and equipment will probably arise at about this point. Furniture layouts will be made, equipment located, tentative provisions will be indicated for electrical outlets, lighting needs will be considered further. The

basic requirements will now have been met, the building plans adapted to the site and costs estimated. If the cost estimates are satisfactory and no important problems remain, the preliminary plans will be approved, and the architect will be authorized to prepare final plans and specifications.

*Final plans and specifications.* Final plans, which are also called working drawings, will consist of floor plans, elevations and sections and details of the structure. These will provide graphic illustrations of the building from several physical points of view. The general construction plans will be supplemented by separate sets of drawings illustrating the design of the heating, ventilating and air-conditioning systems; of electrical work, plumbing, special communications systems; and there will be additional drawings illustrating the detailed design and location of many general and special features of the building such as stacks, furniture and built-in shelving along walls. These plans will be supplemented by written specifications which will describe the type and quality of the materials that are to be used, quality of workmanship desired, and such additional information as is necessary to supply the builder with a full description of the building he must construct and the conditions he will have to fulfil.

If the librarian has participated actively in the preparation of the preliminary drawings he will be adequately prepared to examine the final plans and specifications. He may find it difficult or impossible to understand some of the technical details, but he can review the architectural floor plans, and he can again review his plans for operating the library. If he finds important errors or oversights, he should bring them to the attention of the architect, for changes, while expensive, can still be made. He should concern himself with the drawings which give details of furniture layout, ceiling treatment, floor treatments, etc.; here he can request changes, if they appear necessary, without incurring significant added expense.

The criticism of final plans and specifications is often the last opportunity the librarian may have to affect the character of the library building; changes are rarely made once the contracts are awarded and construction is under way.

## SPATIAL RELATIONSHIPS AND SPACE REQUIREMENTS

For planning purposes it is helpful to draw organization charts representing graphically how the library has organized its resources, services and personnel to perform its functions. These charts, considered together with flow charts showing how the work is performed in each department of the library can be very useful to

the building committee and to the architect in visualizing the particular functions of the departments and estimating future staff growth [8].

In so far as it is practicable the most heavily used departments of the library should be located on the main floor, at or near ground level.

*Problems of growth.* Future expansion and changes of organization must always be kept in view when a new library building is being planned. The site should provide ample space for future expansion, and the design of the building should permit an addition, not only to the book-stack area, but also for more seating for readers and working space for staff.

Within the new library itself allowance must be made for large-scale movements of books, since the development of library co-operation may lead to agreements between libraries to specialize in certain subjects, and so to transfer whole subjects from one library to another. This can only be allowed for by the flexible planning of interiors. As the library grows larger, subject specialization also begins to develop and the demands upon it increase. In some instances it may develop very quickly if one or more faculty, school or institute libraries are incorporated in the collections of the main library. In a well-designed building it should be possible to incorporate a new department in the floor plan for there will be few, if any, structural interior walls and new spaces can be created quite simply and economically.

*Space estimates.* In the early stages of planning it is helpful to make some rough estimates of space requirements in terms of floor area. These estimates can be used in calculating probable costs of construction and they can be kept in mind when building sites are being considered.

In some instances, preliminary size and cost figures are submitted to justify an award of funds for planning. Then, when plans and specifications are complete the governmental authority can be approached for the funds to build and equip the building. The rough estimates will also serve to keep the building project in proper focus for the building committee so that it can plan realistically, neither expecting too much nor too little for the money that will eventually be spent for the building.

Space will be needed for library materials (books, journals, etc.), readers, staff, and for all other purposes. The following figures are suggested for making rough estimates of floor area requirements:
For library materials: 1 square foot per 15 volumes.
For seating space, after deciding the size of each group of readers —undergraduates, graduate students, faculty—for which seating

should be provided: 25 square feet for each undergraduate, 35 square feet for each graduate student, 75 square feet for each faculty member.

For staff, counting present and anticipated size: 100 square feet per person.

Space for other purposes: under this heading there may be included the space required for stairways, lobbies, corridors, ductwork for ventilating or air-conditioning, building service and other accommodations. For rough estimating purposes, K. Metcalf suggests adding 40 per cent of the total floor space requirements for books, readers and staff, to allow for all other purposes [9]. Thus, if 100,000 square feet of space are required for books, readers and staff, 40,000 square feet should be added for all other purposes.

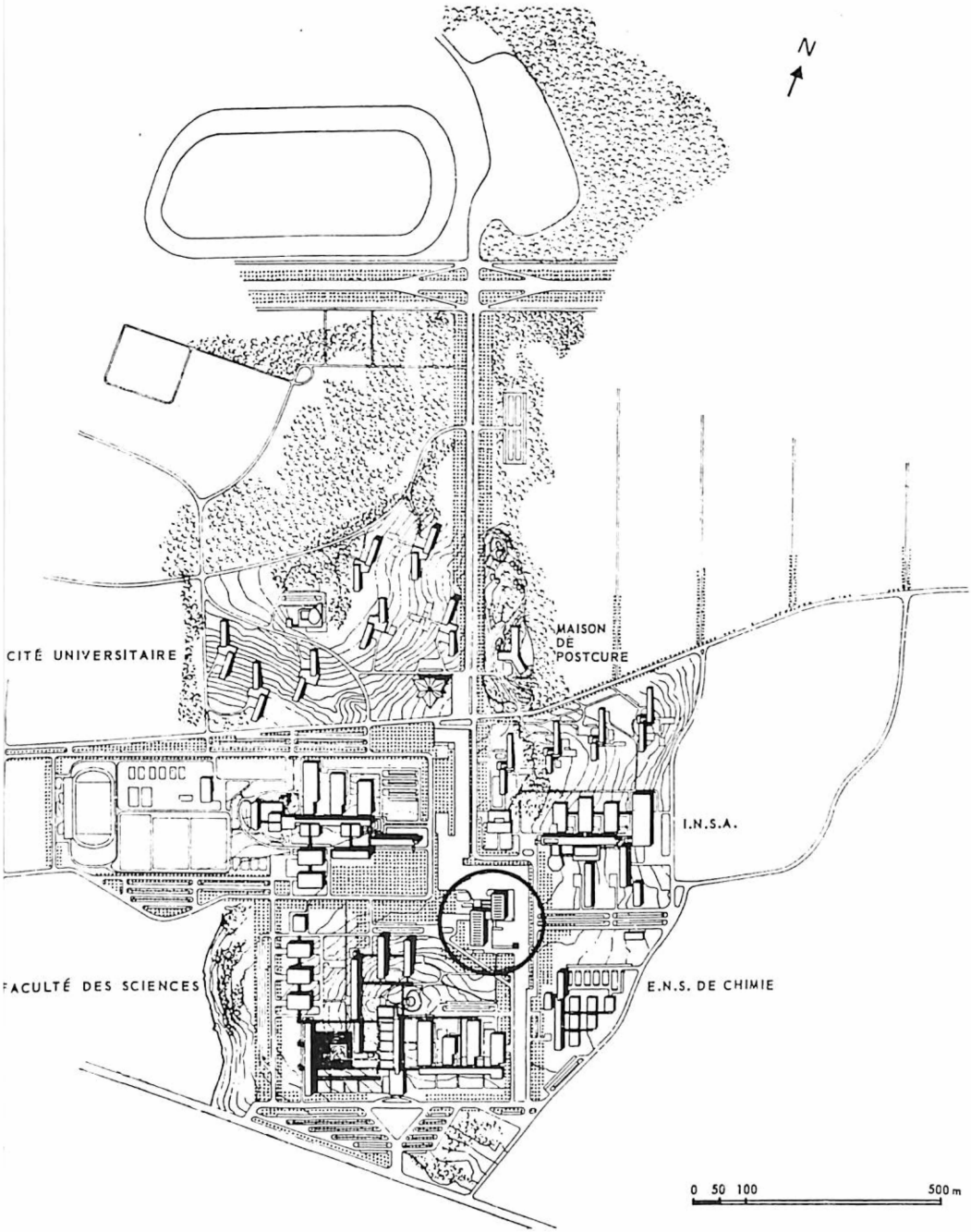
*Costs.* Costs of construction vary among countries and within countries. Rough estimates are usually based upon the type of building (institutional or educational, in the case of the library), its size in terms of total floor area in square feet, or volume in terms of cubic feet; and construction costs per square or cubic foot. Construction cost figures are frequently kept by architects and builders in a particular region or country; recent figures can be helpful. Some of these figures are given in architectural journals (which are also good sources for general institutional building cost indexes) and in library periodicals. An issue of the *Library Journal*, for instance, describes some new library buildings and gives cost figures for most of them [10]. A. Thompson's book on library buildings is a good source of cost data [11].

## SELECTING THE SITE

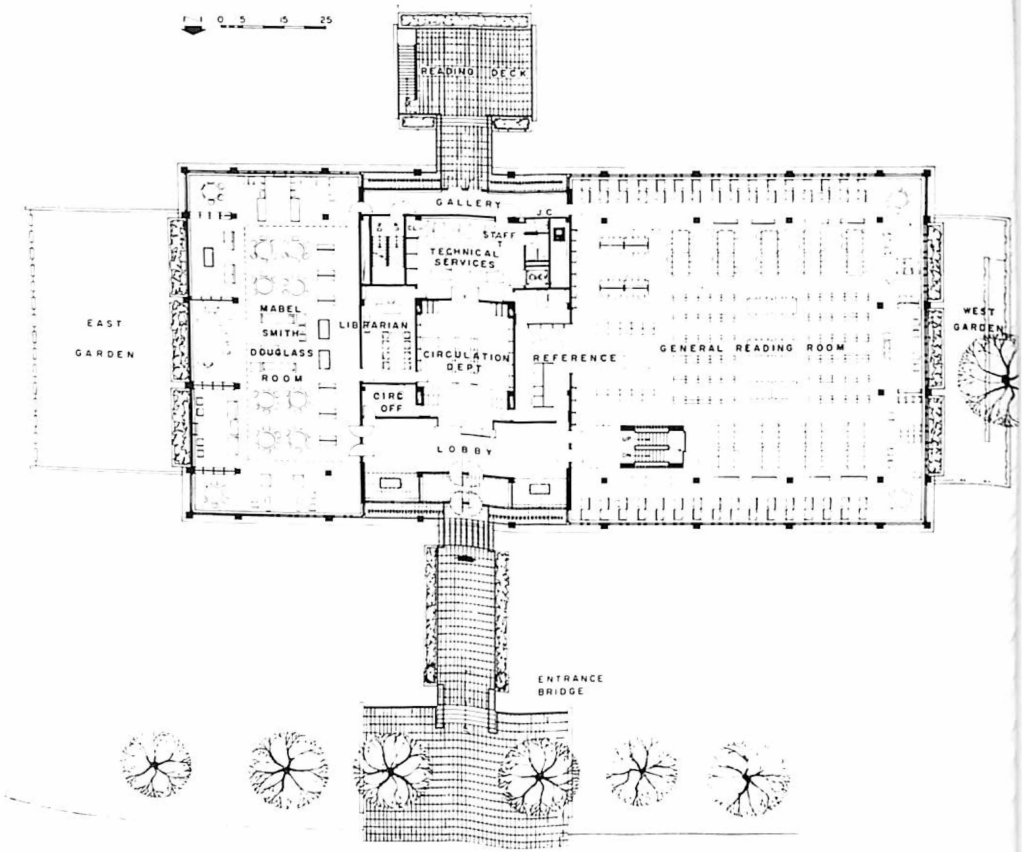
After the first rough estimates of size and cost have been made a site should be sought, for the condition of the site may affect materially the design of the building. 'Many features of a good building are determined by its site. In order to compare the advantages of two sites, one must compare the two somewhat different buildings that could be erected on them.' [12]

The selection of the site should in any case be included in the master plan of university development.

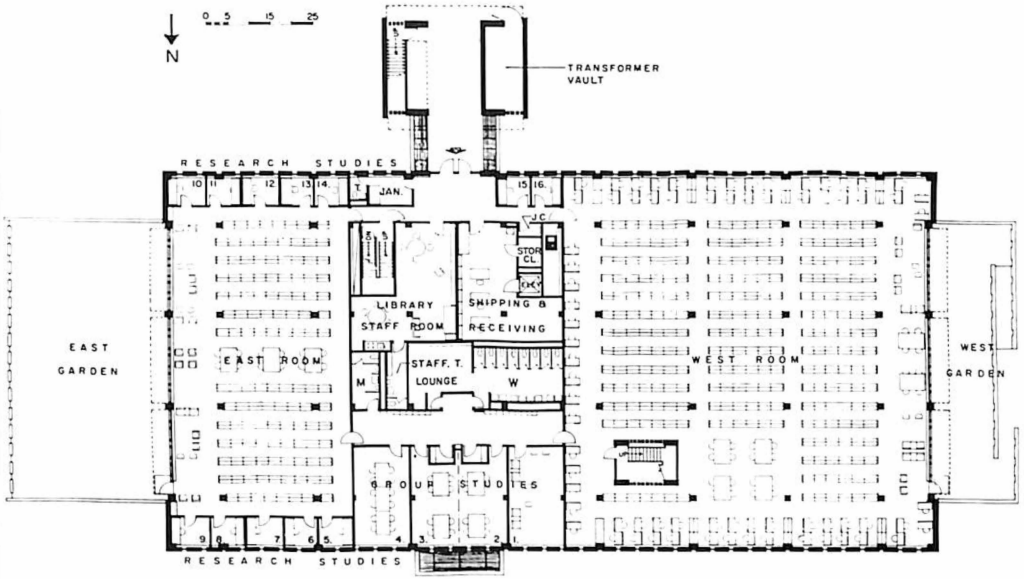
Five major factors should be considered in selecting a site: 'First, is its size adequate? Second, what is its relation to neighboring buildings and to the whole population and traffic flow of the institution? Third, what orientation is possible for a library building erected on it? Fourth, are there advantages or disadvantages in the slope of the land? Finally, what complications will arise from the nature of the ground beneath the building?' [13]




xiii. The library site in relation to the other buildings of the university. Key plan of the Scientific University campus of Rennes-Beaulieu (France). The library (circled) is situated in the centre of the buildings for teaching, research institutes and student lodgings. *Source:* Jean Bleton, 'The Construction of University Libraries', *Unesco Bulletin for Libraries*, Vol. 17, November-December 1963, pp. 307–14.




XIV. Main floor plan, Douglass College Library, Rutgers University, New Brunswick, N.J. (United States). Note provision for readers' and technical services and spatial relationships. *Source:* The architects.




xv. Ground floor plan, Douglass College Library, Rutgers University, New Brunswick, N.J. (United States). Note private and group study facilities, amenities for staff. *Source:* The architects.

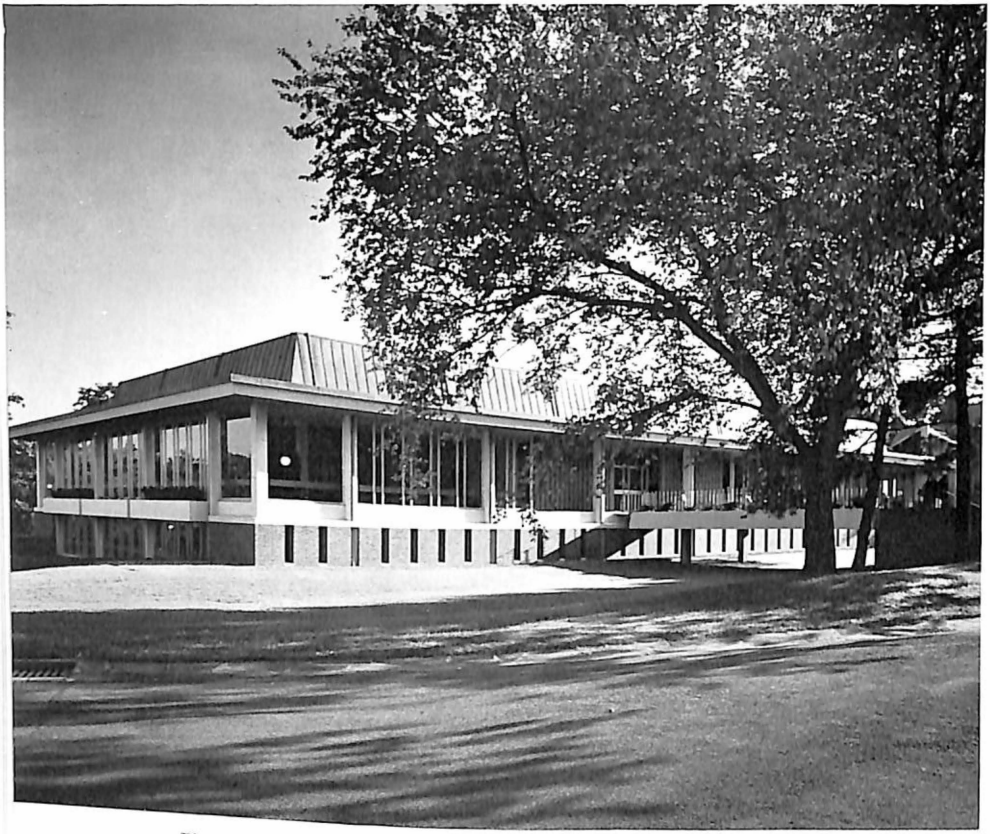
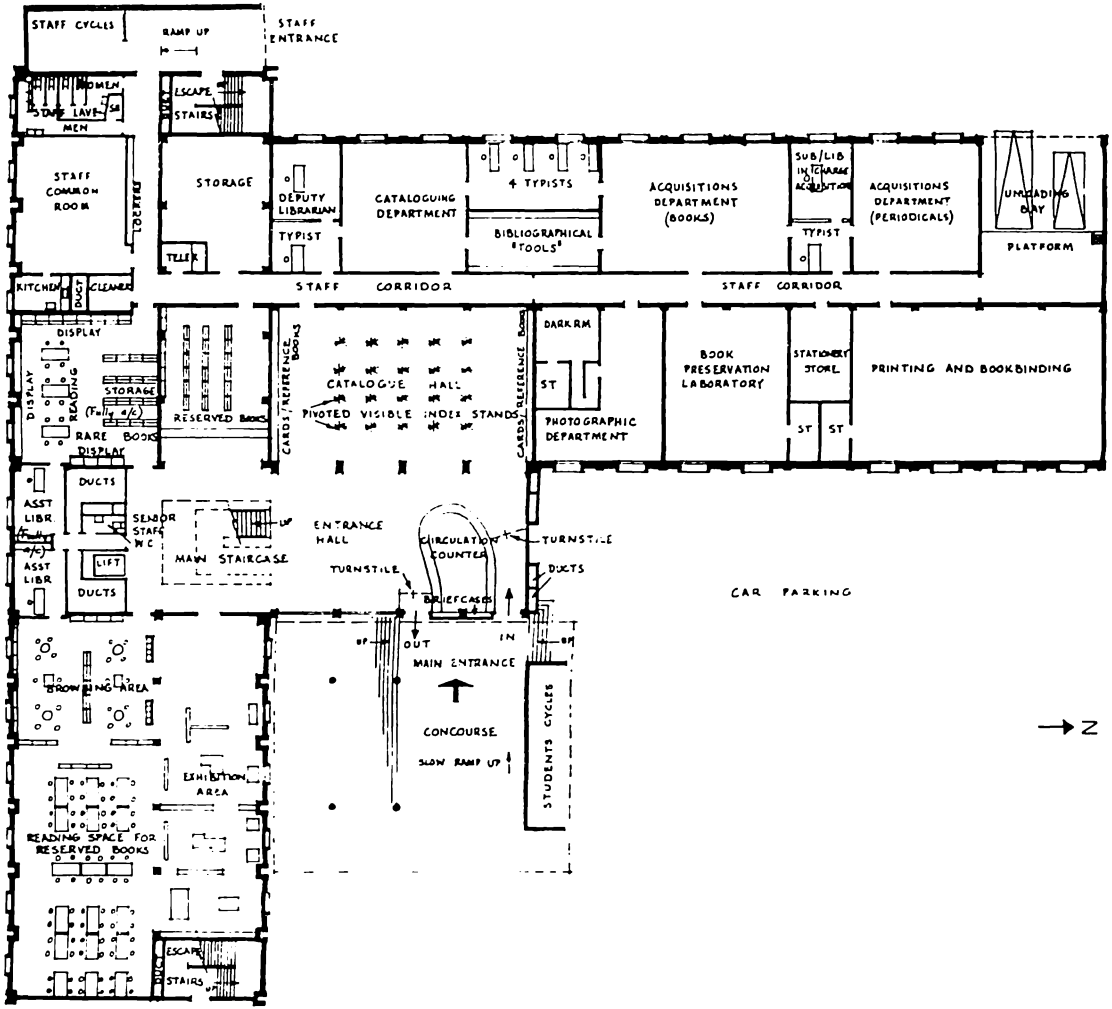


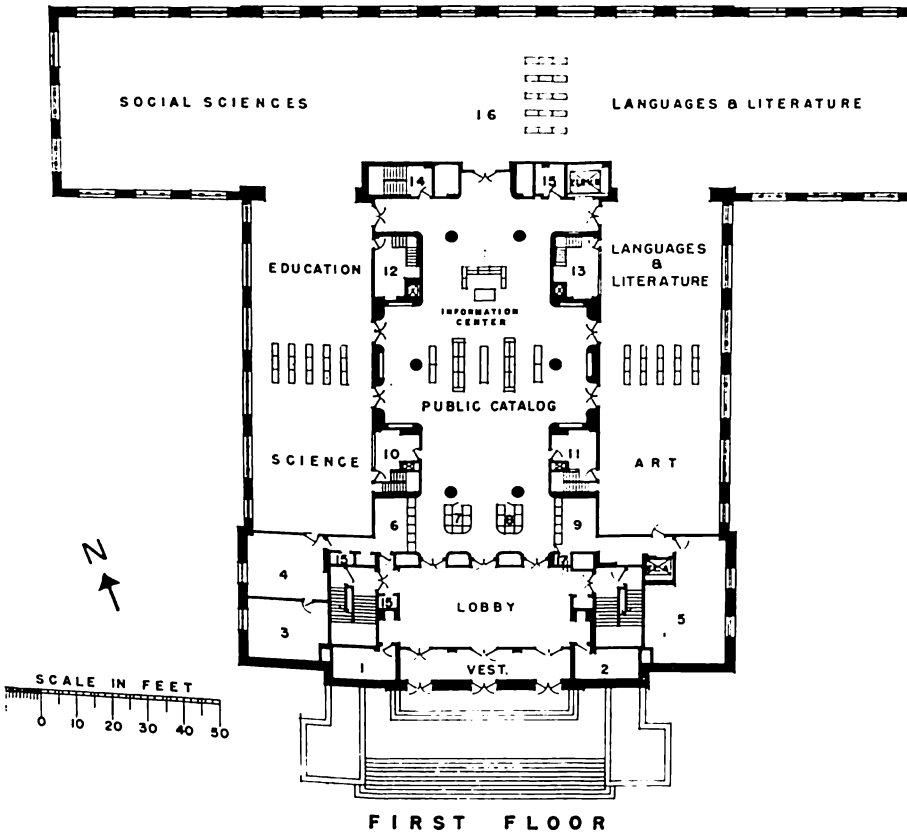
Photo: Gottscho-Schleisner

XVI. Outside view of Douglass College Library, Rutgers University, New Brunswick, N.J. (United States).

XVII. Sketch plan for the ground floor of the proposed library for Abdullahi Bayero College, Kano. 'A sketch plan of the ground floor of the proposed library for Abdullahi Bayero College, Kano. The entrance concourse, and the relation between the service departments, the library staff common room, and the public area of the library may be noted. The main reading-rooms and stack areas are on three floors upstairs. Architect: W. R. Court.' *Source:* W. J. Plumbe, 'Climate as a Factor in the Planning of University Library Buildings', *Unesco Bulletin for Libraries*, Vol. 17, November-December 1963, pp. 316–25.




Sketch plan by courtesy of Ahmadu Bello University

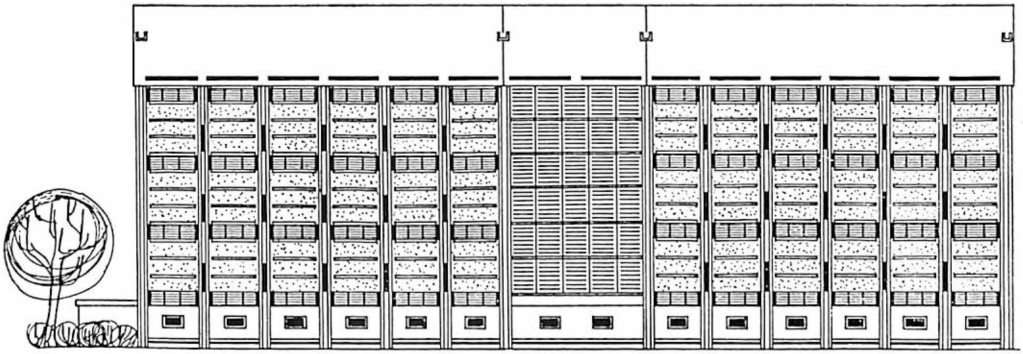



*Legend*

1-2 Coat rooms
3 Work room
4 Science reference room
5 Work room
6-8 Charge desks
9 Return desk
10 Office - Science
11 Office - Art
12 Office - Social science
13 Office - Languages and Literature
14 Emergency stairway
15 Utility closets
16 General bibliography
17 Book drop

XVIII. First floor plan, Paul Klapper Library, Queens College, New York. Note the grouping of subject divisions around a central area which houses the library catalogues, information centre and circulation service. Book-stacks are located on three floor levels below the first floor; work-rooms, offices, faculty studies, seminar rooms and an art library and exhibition centre are on the second floor. Architects: Eggers & Haugaard, New York. *Source:* The Library.

Sketch plan by courtesy of Ahmadu Bello University



XIX. Building design related to climate. 'South elevation of the proposed library for Abdullahi Bayero College, Kano. The top storey is occupied by water tanks for the campus, together with the ventilation plant and lift motor. The roof above the tanks is an aluminium sheet of low pitch while below the tanks is the main concrete roof which has a fall and is waterproofed by a bituminous membrane. The south elevation is protected from the sun by horizontal fixed louvres, and windows are deeply recessed. The narrow vertical slit windows at low level in each reading-room are shielded from the sun by external fins—actually, the structural columns, split into pairs. Architect: W. R. Court.' *Source:* W. J. Plumbe, 'Climate as a Factor in the Planning of University Library Buildings', *Unesco Bulletin for Libraries*, Vol. 17, November-December 1963, pp. 316–25.

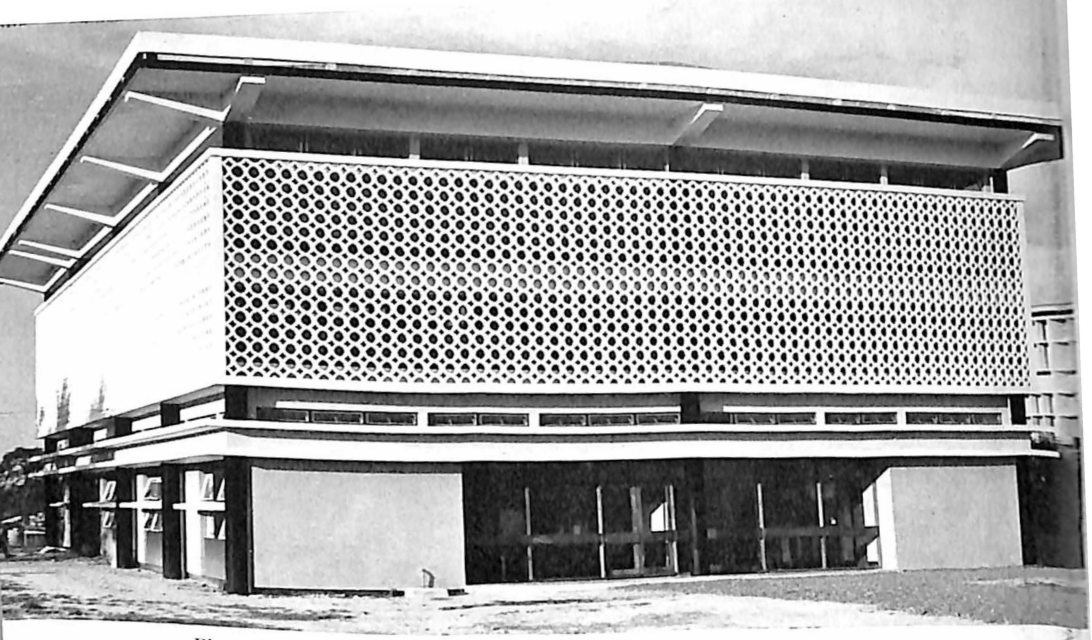


Photo by courtesy of Eric Taylor

XX. Building design related to climate. 'Shettima Kashim Library, Ahmadu Bello University, Zaria (Nigeria). The two upper floors are protected from the sun by a pierced screen placed 16 in. from the inner wall. The cost of the building which was designed for a college of technology rather than a university, was £38,000. Book capacity is 70,000 volumes and there are 100 seats for readers. Architects: Corfiato & Partners.' *Source:* W. J. Plumbe, 'Climate as a Factor in the Planning of University Library Buildings', *Unesco Bulletin for Libraries*, Vol. 17, Nov.-Dec. 1963, pp. 316–25.

After the first estimates of size and cost have been reviewed, and the building committee in consultation with university authorities has selected the site and determined the nature and direction of its future course, detailed planning should continue and culminate in the preparation of the building programme. Basic problems will be studied, the rough estimates will be refined, and decisions taken on the detailed allocations of space for library materials, for readers and for staff, as well as equipment and furniture.

## EQUIPMENT AND FURNITURE

The university library building requires, in addition to movable equipment and furniture, fixed equipment which will provide for special lighting situations, adequate heating, cooling and ventilation, control of noise, good communications and economical maintenance.

*Heating, cooling and ventilation: air-conditioning.* 'Air-conditioning in the strict sense means the simultaneous control of eight factors, viz., temperature, humidity, air motion, air distribution, dust, bacteria, odors, and toxic gases.' [14]

Temperature and humidity requirements for books and people are regarded as being quite similar. Comparison of suggestions from various sources suggests a temperature range of 65 to 75 deg. F. combined with about 50 per cent relative humidity as a desirable indoor climate for libraries.

Air motion, dust, bacteria, odours and toxic gases must also be taken into consideration according to the requirements of local conditions.

At the University of Puerto Rico in Rio Piedras, where the year-round climate is mild and the humidity is not excessive, the architect did not find it necessary to use solid exterior walls. Deep grilles are a feature of the ferro-concrete walls. These grilles, together with shutters provide protection from the sun and free movement of air. The stacks, however, are completely enclosed and air-conditioned [15].

In the library of the University College, Ibadan (Nigeria) 'air-conditioning was intended, but decided against as too costly; electric heating dries the air in the wet season' [16].

*Lighting.* Good lighting is of such importance that it should be considered early in the planning programme and expert advice should be sought for the design of the lighting system.

While illumination experts disagree on the amount of light that is required for library purposes there appears to be some general agreement on the following points: lighting should be uniformly distributed; sharp brightness contrasts should be avoided in the treatment of walls, ceilings, floors, table tops and other reflective surfaces; lighting fixtures should provide maximum diffusion of light and should be installed so as to avoid high brightness contrasts with their surroundings; daylight cannot be relied upon as an exclusive source of light, nor should its use influence the design of the artificial lighting system (windows, contrary to some views, are not the least expensive nor the most efficient sources of light; the cost of windows is often greater than a corresponding area of wall); stacks should be lighted to provide adequate light for the lowest as well as the highest bookshelves; the relative merits of incandescent versus fluorescent lighting should be considered in the light of particular library needs. There is still good reason for employing both types of lighting in a library. R. T. Jordan's 'Lighting in University Libraries' [17] and Thompson's treatment of lighting in his book on library buildings [18] are good sources of additional information on this subject.

*Noise prevention.* While it is impossible to achieve absolute silence in the library every effort should be made to provide a quiet atmosphere for the comfort of readers and staff. Noises which originate within the building should be kept to a minimum. A variety of insulating materials and devices is available. The choice should be made by the architect in consultation with the librarian.

*Fumigation equipment.* In warm climates where fungi and insects attack books it is necessary to provide fumigating equipment. The new Singapore National Library building contains a fumigation chamber 'at the top of the stack tower . . . with a capacity of about 1,647 cubic feet. This has bookshelves for the materials to be fumigated, extracting and intake fans and an oscillating fan' [19]. (See also, the section on 'Conservation of the Collections' in Chapter IX.)

*Maintenance provision.* Adequate provision should be made for the janitorial and other members of the maintenance staff. Janitors' rooms containing slop sinks and storage space for cleaning equipment and supplies should be located on each floor of a large building, and space should be provided for machinery and minor building repair and maintenance functions.

*Communications.* Depending upon the size of the building and the character and organization of library services, communications devices will be required in greater or lesser degree. Among these

devices are booklifts, conveyors, telephones, pneumatic tubes, teletype, fire-alarm systems and public address systems. Aside from fire alarms and telephones which are highly desirable in any case, the choice of communications can be best made when the building plans are in a fairly advanced stage. In a building of more than one floor, book-lifts are indicated; where several floors must be passed, elevators may need to be considered; if a central loan desk controls a large closed stack, pneumatic tubes or teletype systems and book conveyors may be desirable. Communications should be designed to provide convenient and time-saving facilities for staff and readers and ease of movement of library materials within the building.

*Movable equipment and furniture.* Basic equipment and furniture may include shelving, card catalogue cabinets, tables, chairs, counters and desks, filing cabinets, exhibition cases for the public areas; office machines, work tables, files, desks, chairs, shelving, book trucks, etc. for staff work-rooms; microfilm and microcard projectors, gramophones, tape recorders, motion picture machines and photographic equipment for specialized services; and additional small and large items according to the needs of the library.

While undertaking the selection of furniture and equipment the librarian should bear in mind the following factors:

1. Flexibility of arrangement is desirable; built-in furniture and equipment such as catalogue cabinets, exhibition cases and loan desks should be avoided as these are not easily moved or expanded in the future.
2. Wherever it is possible book shelving should be standardized so that the parts are easily interchangeable, and other equipment as well as furniture should also be purchased in groups of uniform sizes. Tables, chairs, counters and desks lend themselves to such treatment.
3. Comfort, durability and variety should be sought in furniture especially, although the quality of durability should apply generally to equipment as well.
4. Economy and ease of maintenance.
5. Colours and materials should be co-ordinated so as to provide an attractive and inviting atmosphere in harmony with the purposes of the library [20]. In tropical countries these factors also apply, but 'special attention needs to be paid to the effects of local climate' [21].

*Shelving.* Pre-fabricated shelving is available in steel or wood. Metal shelving is more widely used than wood as it withstands atmospheric conditions better and is generally less costly in countries which produce both types. Although other sizes can be fabricated for large orders, metal shelves are usually 3 feet long and come in a variety

of widths. Shelves are of two principal types: a bracket type which is designed to hang in slots on metal columns or uprights; a sliding type which is designed to slide into the shelf column. A widely used column and floor height in stack areas is 7 feet 6 inches. A wide variety of shelf accessories is available: sliding reference shelves, carrel cubicles, book cages, book holders and range locators are some. It is best to purchase shelving from library equipment firms which have been operating for an appreciable time and can supply additional shelf units of the type that is originally installed.

*Catalogue cabinets.* Unless the library is using a loose-leaf sheaf catalogue, it will require card catalogue cabinets for the public catalogue, the shelf-list and the official catalogue as well if one is maintained. They should be free-standing with consultation tables and high stools in their vicinity. Catalogue cabinets are made of wood or metal. Metal is not widely used, as metal trays are noisy to handle, and for other reasons. Wooden cabinets should be purchased from established library furniture makers who use well-seasoned woods, precise measurement and excellent workmanship. Otherwise the library may find that trays will stick, warp out of shape and otherwise prove difficult to use. Wherever possible, catalogue cabinets should be bought in unit sizes which permit additions as need occurs.

*Tables.* Library tables come in various sizes and shapes. It is customary for tables to be 29–30 inches high. Seating along tables is roughly estimated at 2½ linear feet per reader. A double-sided table should be 42 to 48 inches wide. Individual study tables may be 2 by 3 feet in area; some are equipped with bookshelves.

Tables 48 inches or more in width are sometimes divided in the centre with a partition in the form of a double-faced shelf. Shelving on tables can be very helpful as a means of increasing table-top work-space for the reader.

Tables should have linoleum or plastic tops as they will be subjected to heavy wear. Modern illumination design calls for light-coloured table surfaces to reduce brightness contrast for readers.

*Chairs.* Chairs should be selected for comfort and easy maintenance. For sustained use, upholstered armchairs are generally considered more comfortable than those without arms. Single chairs with writing tablet attached can be used by individual readers who prefer to work by themselves and do not require a desk or table. The use of single upholstered chairs, even of small sofas, is now frequently considered a means of softening the institutional appearance of long rows of tables and chairs, and recognizes that not all library users are content to work at large tables but may prefer relative privacy.

*Counters; loan desks.* Most of the established library furniture manufacturers now offer counter units of many different types but of standard sizes which can be bolted together in a particular combination to suit the needs of the library. Like standard shelving units and catalogue cabinets, these counters can be added to if need arises or they can be unbolted and reassembled in new shapes to meet changed requirements. Counter tops should be covered with linoleum or plastic to withstand hard wear and provide for easy maintenance.

NOTES


1. SULLIVAN, L. H. *Kindergarten chats (rev. 1918) and other writings.* New York, Wittenborn, Schultz, 1947. See p. 208.
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CHAPTER XII

# FINANCIAL ADMINISTRATION

The governing authority of the university is responsible for providing adequate library funds; the university librarian for administering them effectively.

It is appropriate to emphasize again the necessity of having a highly qualified university librarian, one whose professional training and administrative abilities equip him to deal competently with the financial as well as other aspects of library administration. From the viewpoint of financial administration, he will be concerned with establishing and maintaining satisfactory relations with the officials responsible for academic, financial and business affairs; the sources of library funds; preparation, presentation and administration of the budget; and with business procedures in general.

## RELATIONS WITH OFFICIALS

Depending on the organization and control of the university and the sources of its income, the university librarian may have to deal with government officials, university governing authorities, heads of faculties and schools and university business officers. In universities that are controlled and financed by the government, he does not deal directly with the government, but he may nevertheless be required to submit supporting data to government budget officials or to deal with government inspectors, auditors and other government officials. Where a university grants or a similar committee advises the government, the librarian may be required to deal with it, directly or indirectly, according to local conditions.

Within the university, the librarian may have relations with one or more officials depending on whether budgeting is centralized or decentralized. In the first instance, he may present his budget directly to the rector or his designated representative for library affairs. After the budget is determined, the librarian will need to work with the business officer in regard to purchasing and related procedures. In the second instance, the librarian may have to deal with several or a multiplicity of deans, directors, and other heads

of faculties, schools, colleges, institutes, etc., and their respective business officers.

## SOURCES OF LIBRARY FUNDS

Library funds may come from the government, the university, endowments, grants from agencies other than the government, gifts and from miscellaneous fees. The librarian should acquaint himself thoroughly with the sources, the methods of transmission and the rules and possible restrictions on expenditures.

Government funds are rarely allocated directly to the library but are usually awarded in the university budget. The funds may be given in the form of a lump sum for the whole university or in highly detailed schedules setting forth precisely how much is allocated for each purpose—staff, equipment, supplies, etc.—in each of the units of the university. The funds are usually awarded for a definite period such as the academic or fiscal year.

University funds, however acquired, are usually the largest single source of income for the library. Allocations may be made directly to the library, or directly to academic or research units. Direct allocation of library funds to the latter, is not conducive to centralization or co-ordination of library resources.

Endowment funds may be general and unrestricted, in which case current income from them may be used for a variety of purposes—including library development. Or they may be designated for specific or general library purposes by their donors. Such funds are usually deposited with the university treasurer. The librarian is often able to draw upon them more freely than government or university budget funds and he is not usually restricted by time limitations. Budgeted university or government funds usually must be spent within the budget period and unexpended balances revert to the budget source.

Grants may come from a variety of sources outside the university or the government: private foundations and individuals, bi-national agencies, international agencies such as the United Nations Special Fund, or Unesco, etc. Usually, library grants are made through the university or the government.

Gifts, like grants, may come from various sources. Unlike grants which are usually made for a designated purpose and period, gifts may be either unrestricted or restricted.

Gifts, grants, and endowments require special record-keeping and reporting, in order to control expenditures and to ensure that the funds are being used for the purposes designated by their donors.

Miscellaneous fees may consist of funds collected for such purposes as payment for lost books, library fines for late return of books,

photographic services, interlibrary loans and library use. These fees should be deposited with the university business office. In some institutions they are placed in a library account against which the library is permitted to draw for replacing lost books, purchasing supplies and equipment for photographic services, and miscellaneous petty cash expenditures; in others, they are added to the general funds of the institution for allocation through normal budgeting procedures. Many universities require faculty and graduate students to pay the costs of postage or expressage for interlibrary loans. These can be quite high in some areas, indeed so high as to discourage requests for such loans. Wherever possible, university libraries should assume these costs not only to relieve faculties and students of the burden but to encourage their clientele thereby to engage in research and publication. A few universities require all students to pay a fee on a semester or yearly basis for library services. This is a highly undesirable way to finance library services. The university should provide library service free of charge, just as it provides lecture-rooms, laboratories and other facilities. Moreover, the income from the fee can only pay for a very small part of the total operating costs of the library. It is best to rely upon the regular university budget for full support of the library.

## THE BUDGET

In the hands of a competent administrator the budget can be an excellent instrument of planning and financial control. As stated earlier, it may be used for long- as well as short-range planning. It is not only a financial estimate of income and expenditures for a stated period but also, in the words of Wilson and Tauber: 'It represents a logical, comprehensive, and forward-looking financial program for the co-ordination of the activities of the various functional divisions of the university. As a definite financial plan, as a forecast of the means for carrying the plan into effect, as a current guide, as a cost summary of operations, and as a historical record and basis for the formulation of future policy, it is an indispensable instrument in the hands of the university administrator.' [1]

Like other administrators, the university librarian should be required to submit an annual budget in accordance with procedures established by the university. He, in turn, may wish to require it of his department heads, not only for necessary factual data, but also to encourage them to apply planning procedures in their work. If he is responsible for co-ordinating library services throughout the university he will require information from the heads of the libraries outside the main library and he may consult with the heads and the library committees of faculties, institutes and other units.

Budget preparation should be scheduled sufficiently in advance of the date of submission to provide ample time for consultation and planning. And budgets should be approved by the university budget authority well in advance of the date they go into effect. The university librarian can then plan his new year's programme with some assurance.

*Justifying the budget request.* The officials who are responsible for providing library funds will quite naturally want to know why the funds are required. They will consider critically the merits of the library request in relation to those of other agencies and the total financial resources at their disposal. It is probable that funds will not be sufficiently abundant to meet all requests in full and that budget allocations may be affected accordingly. The library budget request should state clearly the purposes for which funds are requested and explain why additional funds may be required in certain categories.

Depending on local budgetary procedures, the budget may take one or a combination of the following forms: (a) a 'line-budget'—an itemization under broad headings, such as: salaries and wages, books and periodicals, supplies and equipment, and building maintenance, accompanied by appropriate supporting arguments; (b) a 'programme budget'—a grouping of major programmes or functions, which may correspond to the organizational plan of the library (administrative services, technical services, readers' services) broken down by departments, such as acquisitions, cataloguing, photographic services, together with summary descriptions of these functions or 'programmes' and comparative figures of current and proposed expenditures; (c) a 'performance budget'—a grouping by programmes or functions, accompanied by appropriate descriptions, and quantitative 'performance' data broken down by units of work, e.g., number of books acquired, number of books catalogued and man-hours of labour used in relation to these numbers, or grouped in other ways to show how much staff time was necessary and how much additional time will be required to perform certain functions. All three forms may require an additional listing of certain 'fixed charges' such as those for building maintenance, insurance, etc.

Adherents of performance and programme budgeting—comparatively recent concepts in public administration—claim these are superior to line-budgeting because they offer a more readily understandable view of budgetary requirements, a more objective justification for them and they are better instruments for planning. Thus, for example, if it has been established that a single cataloguer can handle a certain number of books per year and that twice that number is being acquired regularly or is expected to be acquired, the need for another cataloguer can be established objectively.

Programme and performance budgeting imply planning to achieve certain goals and the use of modern management devices to improve and standardize operations.

But it is not every librarian who has the time and talent to employ performance budgeting techniques and there are other difficulties in this regard. Library processes are still highly unstandardized; therefore few guides exist to measure library work. Furthermore, while quantity is measurable, quality is not, in the same sense. Large output, in other words, does not necessarily mean good output. Library activities are not uniformly measurable; some are more difficult to measure than others. But 'measurement, however inadequate, is better than no measurement at all'. [2]

The librarian should remind himself while he is preparing the budget that, regardless of other values it may have, the budget document must be so easily understood and so convincing in its arguments that the appropriating authority will be persuaded to accept it seriously and provide the necessary funds. To produce such a document the librarian should use all of the techniques and supporting data that are available to him.

*Standards.* In addition to norms and standards established by local experience (performance standards) librarians may also make use of statistical comparisons with other libraries; professional association library standards relating to size of collections, size and nature of staffs, total financial support in relation to total university expenditures; and of state and national library standards in these respects.

Care needs to be observed in making comparisons with other libraries. It is difficult to find libraries that are closely comparable in all major respects. Size of collections and size of staffs are not very significant unless related to university teaching and research programmes, enrolment, size of faculty, etc. Statistics of various aspects of library service in groups of libraries representing similar institutions in a country or region may be helpful, however, if the librarian finds his own library is far below the median. Library association standards may be helpful in countries where they are accepted by university authorities; governmental standards are likely to be most effective, if mandatory. Total library expenditures expressed as percentages of total university expenditures for education and research are increasingly employed. Five per cent is now quite commonly set as a minimum standard for college and small university libraries. All such standards need to be used with caution. A new and growing library may require far more than 5 per cent; an old library in process of reorganization and further development may require more. Common sense would dictate that standards that are applied arbitrarily and artificially will not impress funds-granting authorities; budget-making and budget-justifying

must rest upon a firm foundation of local needs that are directly related to the requirements of the library's clientele.

*Procedure for budgeting.* The university's rules will generally govern procedure with respect to the form and contents of the budget; the channels for submission and timing. The librarian can usually start his preparations by reviewing the current budget and outlining the procedure to be followed in preparing the new budget. It is desirable to consider budgeting as a continuous process in which new budget preparations begin soon after the current budget is received. Appropriate staff members—usually department heads—should be advised to review their needs and plans for the current year in the light of the current budget and to submit a tentative new budget request to the librarian by a stated date—perhaps two to three months after the beginning of a new budget year. The librarian should then consolidate and review these requests, taking the time beforehand to discuss them with the staff who are involved. This will give him an opportunity to examine and evaluate in some detail, the work of each department.

During the early period of budget preparation the librarian should consult as widely as possible, to determine major needs in acquisitions, new services, staffing, desirable hours of opening, needed furniture and equipment, etc. He should also take account of needs for salary increases, promotions, leaves of absence which may require the employment of substitutes, and building renovations or additions. When he has assembled all the information he requires about current operations and future needs he should draw up a tentative budget request.

The detailed budget should be accompanied by a brief statement summarizing the principal items of current and estimated income and expenditure under general headings and setting forth the principal arguments for justifying new items or increases. The form of the summary should follow that of the detailed budget. The summary will give the total sum estimated for each category; the detailed budget will list all of the necessary details under each category. The summary is often written in the form of a letter of transmittal.

*Preliminary discussion with head of university.* The librarian should be given an opportunity to discuss his tentative budget with the head of the university, or his deputy for library matters. This preliminary discussion may be only exploratory but it should be possible for the university head to indicate his attitude toward the budget and there may also be an opportunity for the librarian to discuss certain long-term projects.

*Final preparation and submission.* After completing his consultations about the tentative budget, the librarian should make such revisions as appear necessary. The final budget can then be prepared

for submission. Sufficient time should be allowed for careful, deliberate and thorough preparation of the budget.

## ADMINISTRATION OF THE BUDGET

Once the budget is approved, it is necessary to set up appropriate accounts and controls. Full accounting is usually performed in the university business office. Salaries and bills for books, equipment, furniture, supplies, etc., are paid by the business office. The library usually distributes and controls the funds for books and other library materials. A monthly financial statement indicating expenditures and balances in each of the major library accounts may be issued by the business office to inform and assist the library in its control of expenditures.

*Administration of book funds.* Administration of book funds is one of the library's most important responsibilities. Book funds may be divided into general library funds and departmental funds. The library will be under considerable pressure to make direct allocations of book funds to academic departments and faculties. This practice has some advantages but the disadvantages appear to outweigh them. If apportionment among departments is to be made, however, the library should first set aside ample funds for general and fixed charges. The remainder of the funds may then be apportioned among the departments.

Fixed charges are those to which the library has committed itself on a recurrent basis. Applicable categories are: subscriptions to periodicals and to other types of serial publications such as yearbooks, annual reviews of literature, government documents in series, etc.; continuations such as encyclopaedias and scholarly sets which are issued in parts over a period of years, etc.; postage and transportation charges; binding; printed catalogue cards; organization memberships (mainly for the purpose of acquiring their publications).

General funds are those which the library uses for building up the reference and bibliographical collections and for acquiring other materials which do not fall readily within the subject scope of a single academic department. Also known as 'unallocated funds' they may be kept as a reserve for such purposes as the purchase of the library of a retired scholar and other 'wholesale' purchases of materials which may serve a variety of departments. These funds may also provide for the purchase of extra copies of books in great demand, and for other books which will, in the opinion of the librarian, strengthen the collections by filling in gaps not otherwise provided for. A good proportion to place in the general funds is 30 to

45 per cent of the total book fund. Even more may be necessary to ensure development of a strong collection of reference and bibliographical materials.

Departmental funds are those which may be allocated to academic departments for building up the collections in their subject fields. The departments submit their book requests to the library acquisition department which purchases the materials and charges the department accounts accordingly. This arrangement is quite common, but it is not uniformly satisfactory as departments vary greatly in the degree of interest they display in building up their collections and the amount of time their members may devote to this purpose. Moreover, it is extremely difficult to devise an apportionment formula which at the same time pleases the departments and ensures the comprehensive subject coverage that the library should have. For these reasons it is wise to avoid departmental allocations and to give the university librarian the full responsibility and authority for building up the collections in co-operation with the faculty.

*Other fund allocations.* In addition to funds for books, allocations need to be made for supplies, equipment, furniture, building maintenance, part-time employees, insurance, travel, etc. After the budget is approved the university librarian makes appropriate allocations to the departments of the library. Simple routines can ensure that orderly procedures are followed in requisitioning labour and materials and that appropriate records are maintained for control purposes.

*Financial records and reports.* The financial records of the library should be as simple as possible. They should not duplicate the accounting system of the university business office. The main purpose of these records is to ensure that library funds are spent correctly and that the budget is not overdrawn. The records are also helpful for budget planning purposes, for planning expenditures systematically so that there will be a fairly even incoming flow of materials throughout the year and for making reports and special studies.

*Financial records of acquisitions.* Before setting up a book-keeping system the university librarian should consult the university business officer to establish the procedure which will best serve their mutual interests. In many universities, the business office maintains the library book account by entering against the appropriation all paid bills for library materials while the library maintains records of encumbrances (outstanding orders) and of bills approved for payment and forwarded to the business office. On the basis of these two records the library is always able to calculate, with relative

ease, the amount of money it has obligated the university to pay, and by subtracting this amount from its total appropriation it can ascertain how much it has left to spend.

*Other financial records.* The library usually procures supplies, equipment, furniture, etc., on requisition through the business office. It keeps copies of its requisitions and relies upon the business office for reports on its expenditures and balances for these purposes. For maintenance charges, insurance and travel costs, it may follow a similar procedure. Payrolls for part-time library employees are prepared in the library and sent to the business office for processing. A small revolving fund for petty cash expenditures may be used for postage and express charges, for the direct purchase of single books and pamphlets from local bookshops and for minor items of supply and equipment. Freight charges are usually paid by the business office on presentation of approved bills from the library. For these items, the library need not keep the type of financial record it uses for books, as the purchasing is done in the business offices. It is desirable, however, to make tallies of the expenditures represented by requisitions and to check them periodically with the business office.

*Reports.* The most common type of library financial report is one of expenditures and obligations against the book collections. The acquisitions department should prepare such a report monthly, listing expenditures and balances in each of its fund categories. The monthly report should be sent by the university librarian to all individuals and departments concerned. This enables him to check the rate of acquisitions and to make adjustments if necessary. For the departments, it may serve as a reminder of the status of their book funds. If the librarian should notice that departmental funds are largely unspent he may wish to send an additional reminder to the departments involved. A cut-off date may be established after which unspent departmental funds revert to the general funds of the library.

## PURCHASING PROCEDURES

Purchasing procedures for library materials have been discussed in Chapter VI. It should be emphasized again at this point that the university and the government can do much to facilitate the free flow of library materials and the purchase of specialized library equipment. Import, customs and currency regulations with respect to library materials and equipment still need to be liberalized in many countries; university and government purchasing regulations also need to be liberalized and simplified in many instances.

## INSURANCE

An increasing number of university libraries now carry insurance against fire and natural disasters. On this subject, it would be wise to seek the advice of well-established insurance companies as to the conditions under which they would insure the library and its contents, and the costs. A prerequisite for almost any type of library insurance is an inventory and evaluation of the items to be insured. For this purpose, some libraries microfilm their catalogues at periodic intervals. In the event of their destruction, the catalogues can be reconstituted from the microfilm. If funds are not sufficient for the filming of the public catalogue, the shelf-list may be filmed. Insurance is usually handled by the business office but the librarian should be consulted before a decision is made.

## CENTRALIZATION AND DECENTRALIZATION

There seems to be fairly wide agreement that a high degree of centralization of library acquisitions in a university is both feasible and desirable where the geographical distribution of university units permits quick and easy communication and transportation. In developing countries, it would appear to be a necessity, especially in regard to purchases of foreign materials.

Within the library proper, a centralization of book-keeping functions may be feasible if the volume of work is sufficient to take most or all of the time of one person. In such a case a trained book-keeper may be assigned to the library administration office where he can serve the acquisitions department and all other departments whose activities require financial record-keeping. As a member of the librarian's administrative staff, he can also assist in the preparation of the annual budget and prepare periodic financial reports.

Decentralization of library acquisitions may be desirable in some instances as in the case of professional schools located hundreds of kilometres away from the main university library. If such schools or faculties are permitted to do their own purchasing, it may be necessary to supply them with very expensive bibliographical tools and with appropriately trained staff. Centralization when practical may avoid unnecessary and expensive duplication.

The question of centralization versus decentralization is not as simple as it may appear. A centralized acquisitions service is an attractive possibility, but it is not worth undertaking unless it can be properly organized, housed, equipped and staffed. The product of centralization should be faster and more economical service and better coverage of book needs for all university units that are likely to be involved.

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2. MAYBURY, C. Performance budgeting for the library, *ALA bulletin*, vol. 55, January 1961, pp. 46–53. See p. 53.

CHAPTER XIII

# EVALUATING AND INTERPRETING LIBRARY SERVICES

In a recent article on the evaluation of library services, Professor Carnovsky, of the Graduate Library School, University of Chicago, says: 'Basic to any evaluation is the question, "What is the library for?" Until this has been at least tacitly recognized, it is impossible to answer the question, "How good is this library?"'[1] In an important sense all of the preceding chapters have dealt with these two basic questions. The first question has been discussed in terms of the general and specific purposes of the library in relation to those of the university it serves; the second has been reflected by implication in the suggestions that have been made for carrying out these purposes. Presumably the degree to which the library is successful in achieving its purposes will show how 'good' it is. A single, important example may be sufficient to illustrate the point at this stage of discussion: one specific purpose of the library is to provide appropriate reading materials in adequate quantity for every course in the curriculum. An 'evaluation' of the book collections should show how well or how poorly this purpose has been achieved.

Every member of the university community who must depend upon the library in order to do his work, and all who are responsible for providing library services—above all, the head of the university and the chief librarian, the government, too, in many countries—are presumed to have an interest in the quality of the library and, consequently, in the continuous evaluation and interpretation of its resources and services.

## EVALUATION OF LIBRARY SERVICES

Evaluation is an integral part of the administrative process for which the university librarian is responsible. In his daily work, he should apply evaluative techniques continuously in all of his supervisary activities and be sensitive to indications of problems in the library services. As conditions warrant, he may record his observations, evaluations and recommendations concerning specific problems in memoranda or reports to the university authorities. His

annual reports and budgets are good vehicles for such purposes as well as for reporting major activities and accomplishments.

As a result of routine evaluation, the librarian may identify an area of technical activity which needs to be studied more intensively, or he may decide that a comprehensive survey is required. In the latter case he should consult the faculty, possibly through the faculty library committee, as its participation in such a study would probably be necessary. If he is then convinced that the project is worth while, the librarian should make an appropriate recommendation to his higher authority. Occasionally, the university administration may decide to initiate a survey, possibly because there is some evidence of general dissatisfaction with library services.

The evaluation may be a self-survey, that is, one performed by the university library personnel, or a study by a library consultant from the outside. Before undertaking the survey, its objectives, scope and methodology should be sharply defined and adequate preparations made.

*Areas for evaluation.* One or more of the following areas of interest may be involved, depending on whether the survey is to be limited or comprehensive in scope: book collections, technical services, readers' services, the staff, use of the library, faculty attitudes and teaching methods, the library building and its equipment, administrative organization, financial and administrative support, cooperative activities, major obstacles to library development, operation of special services. A comprehensive survey might well include all these areas. But even a limited survey may need to cover several related areas.

*Book collections.* The adequacy of the book collections (as used here, the term represents library materials of all forms and types) is obviously of first importance in the evaluation of a library. While some quantitative methods may be employed in measuring their adequacy, the major emphasis should be on their appropriateness, in terms of quality and scope, for the teaching and research programmes of the university. Faculty members may be very helpful by inspecting and evaluating holdings in their respective fields. Bibliographies issued in connexion with courses at the university, standard printed bibliographies of general and special scope, and check-lists of selected reference books and periodicals may be used as guides in determining breadth of holdings and identifying gaps which should be filled. Thorough examination of the bookshelves is feasible in a relatively small library. This may reveal gaps in periodical sets, excessive duplication of certain titles, excessive proportions of obsolete materials and other characteristics of the bookstock which are not readily determined from a mere examination of the library catalogue. The evaluation of the collections should also take

into account records of books borrowed on interlibrary loan, and of books requested by the library's clientele but not owned by the library, as these may point to significant deficiencies. Some surveyors use questionnaires as supplementary devices to elicit information about the strengths and weaknesses of the collection. Faculty members, for example, may be invited to indicate whether the collections in their special fields are adequate for (a) preparing lectures; (b) their individual research needs; (c) providing students with a suitable range of materials representing the subject matter of the lectures; and they may be encouraged to list specific titles that are lacking and should be acquired. Advanced students may be questioned in similar fashion to determine whether the collections are adequate for their course studies, dissertations and scholarly and scientific reports. An examination of desiderata files maintained by the library may reveal serious gaps in the collections.

In addition to such devices for evaluating the quality of the collection and determining major needs, it is desirable to ascertain what provisions are being made to correct deficiencies and keep up with new publications. This may require consideration of the library's acquisition policy to determine whether it reflects major needs and the availability of other library resources in the nation or region. Related to policy is the degree of financial support which is provided for new acquisitions.

A systematic, thorough evaluation of the book collections should result in positive identification of areas of strength and weakness, a possible revision of collecting policy accordingly, and a long-range plan for building up the collections.

*Technical services.* Closely related to the book collection are the procedures for acquiring, cataloguing, classifying and preparing the books for effective use. A critical examination of these procedures and of the catalogues and other guides designed to facilitate access to the collections is therefore an appropriate part of an evaluation. Here speed and efficiency of processes are desirable, and arrearages in orders, in cataloguing and preparation will be identified, if present. Detailed study of the flow of books from the point of initial receipt until the completion of processing may reveal possibilities for improvements. Such evaluation may also be appropriate for other technical services such as binding, mending and repair and photographic reproduction.

*Readers' services.* While housekeeping functions and lending operations may be examined, the emphasis is usually on the quality and scope of assistance to readers: reference and bibliographical services. Evaluation should reveal how effectively the services are being performed and what may be needed in terms of additional books, staff and administrative organization.

*Staff.* The central importance of a competent staff of adequate size is clearly recognized in all types of library evaluations. A variety of factors is considered in appraising staff quality and adequacy: the size, qualifications and experience of the staff; the proportion of non-professionals to professionals; academic status, working conditions, university privileges; participation in professional and scholarly activities; quality of personnel administration; general morale. While consideration of these factors does not necessarily determine how well the individual staff member performs his job it is very helpful in conjunction with an appraisal of the quality and scope of library services.

*Use of the library.* The use that students and faculty make of the library has been characterized as 'the ultimate test of its effectiveness' [2]. It involves consideration of a number of factors: the quality of the collections and services, the character of the physical facilities, the availability and accessibility of materials; above all, the teaching methods of the faculty and the nature of the demands they make on the students and the extent to which the faculty engages in research, and scholarly publications.

Statistics or observations of library use may be helpful indicators of basic deficiencies in the library or lecture hall.

*Faculty attitudes and teaching methods.* A broad survey of library activities should always take into account faculty attitudes toward the library and teaching methods, as these are directly related to quality of library resources and the use that is made of them, and to the nature of the library services that will be required. Faculty attitudes are expressed in the actions of individual teachers and through faculty library committees. The surveyor will be interested in faculty use of the library and the extent to which the faculty shows interest and participates in building up the collections and services. Teaching methods are a legitimate concern of the surveyor. While it may be too much to expect a radical change in them as a result of a library survey, improvements in library resources and services may influence changes in teaching methods.

*The library building and its equipment.* The adequacy of the physical plant and its equipment is usually a matter of serious concern. The surveyor will evaluate provisions for books, readers and staff with respect to current and future needs, and he may need to advise the university about remodelling existing buildings, making additions, or about requirements for a new building. The university librarian should be intimately involved in such studies in view of his broad responsibilities for library services.

*Administrative organization.* The degree of centralization or decentralization of library administration and resources may be a matter of concern, particularly in universities with generally poor, or unevenly developed, library resources and services. The organizational

pattern, the effectiveness of administration, the extent to which the university librarian has responsibility and authority may be among the items to be evaluated. Since it pervades all of the library's activities, administrative organization is necessarily involved in the study of each.

*Financial support and administration.* While none will say absolutely how much money a university library must have, all will agree that strong financial support is required for effective library service and that administration of the library's funds must be sound. Studies of financial aspects of library service are therefore likely to include analyses of budgetary procedures, distribution and control of funds, areas of weak support and administrative organization and comparison of expenditures with published standards for library support.

*Co-operative activities.* The extent to which the libraries of the university co-operate among themselves and the possibilities of inter-university and wider library co-operation are extremely worthy topics for analysis and exploration. Emphasis is usually placed on the methods of attaining fullest use of existing library resources but co-operative activities designed to increase resources and improve services are also considered.

*Major obstacles to library development.* The obstacles to library development may be internal as well as external. While the surveyor may quickly discover the external ones, he may have difficulty in identifying and defining the internal. A major obstacle may be found in poor relations between the university librarian and the head of the university, in apathetic or unduly authoritarian faculty attitudes. It may reside in poor library administration. Objective studies of such conditions are best made by library consultants from institutions outside the university.

*Operation of special services.* Where the library is responsible for the operation of a national library service, a library school, or any one or more of the other 'special services' which were mentioned earlier in Chapter IV, it should give them the same careful scrutiny that it applies to its regular services. The surveyor will wish to inquire about the administrative organization and financial support of such services and whether regular services are being affected adversely by the special ones. He will also be interested in other aspects: efficiency, economy, extent of use, etc.

## ORGANIZING AND CONDUCTING EVALUATIONS

A limited study or survey of one or two areas may be undertaken by the university librarian himself or assigned to a senior library colleague. After the 'terms of reference' are defined, the investigator can proceed. A large-scale study will require careful planning and

the collaboration of many persons. It may be desirable in such instances for the head of the university to form an advisory committee, composed of representatives from the university library committee, augmented perhaps by a few faculty members who have demonstrated unusual interest and competence in library matters, a representative from the university administration (preferably one with library responsibilities) and several senior members of the library staff. The advisory staff should recommend the objectives of the study, select the specific areas for investigation, suggest methodology to be used and determine whether it is feasible to conduct the study with university personnel, or whether outside assistance and direction will be required. Whether it is to be a 'self-study' or a survey by an outsider, there should be an executive head (director) of the study. The advisory committee should confine itself to advisory, policy and promotional activities, leaving actual conduct of the study to its director. It may convene from time to time to discuss the director's progress reports and special problems which may arise in the course of the study.

*Preparing and distributing the report.* Upon the conclusion of the study, the director should submit a preliminary report to the advisory committee for discussion and possible correction or revision. The final report should be submitted to the authority which authorized it. If the report is broad in scope it will probably interest and involve the faculty at various points. It is therefore desirable to distribute it widely and to make provisions at the same time for wide discussions of its findings and recommendations.

*Carrying out the recommendations.* All who may be involved in carrying out the recommendations should be encouraged to do so systematically and promptly. The advisory committee may be helpful at this point, too, by suggesting priorities. A target date should be set for the completion of the process and provisions made for progress reports at certain intervals. Full implementation may require additional staff and funds for which appropriate budgetary provision will need to be made.

## INTERPRETATION OF LIBRARY SERVICES

To secure full understanding and support of the library in order to improve its effectiveness, the university librarian and other high university officials may use a variety of devices to explain and describe library activities and needs.

*Personal and professional activities.* Within the university, the head librarian and his professional staff should strive to develop close

personal relations with faculty members and students. Faculty library committees, student library committees, occasional receptions for faculty and/or students in the library, individual associations of various kinds may offer many opportunities for the library to keep its clientele well informed and to encourage greater understanding and support.

Good relations should be established by the library with graduates of the university and other potential supporters of its programmes. Some university libraries have encouraged the establishment of special auxiliary groups of persons who are interested in associating themselves with the purposes of the library in a concrete way. These groups are often called 'Friends of the . . . Library'. Their main objective is usually to encourage gifts of money or of books, but they may also raise funds for special lecture series, exhibitions, concerts and related purposes.

Outside the university, the participation of the library staff in the activities of professional library, scholarly and cultural organizations may be helpful both to the library itself and to the general development of librarianship and the spread of culture in the country. Attendance at regional and other international conferences may lead to the establishment of important co-operative services.

*Other media of interpretation.* In addition to lectures on the use of the library and on various facets of bibliographical research, exhibitions of library materials and other library-related activities of a similar kind, the library may sponsor by itself or with outside aid lectures by distinguished scholars and scientists, exhibits of art objects, concerts of indigenous music, dramatic readings, etc., which may bring it into a closer relationship with its clientele. Other media may include: annual and special reports, library handbooks for students and faculty, university catalogues and bulletins, student newspapers, library newsletters and new accessions lists, bulletin board notices, booklists and special bibliographies. Most of these have been discussed previously but further treatment of a few may be helpful.

The annual or special reports of the university librarian may contain relatively comprehensive descriptions of library activities and problems and recommendations for further improvement of services. These reports are usually directed to the head of the university. Often it is possible to use an annual or special report in its entirety or in abridged and revised form as a device for informing deans, department chairmen, faculty library committees and even larger groups about the library. Permission to circulate these reports should be obtained, of course. In some instances, the annual report of the librarian may be sent to graduates and members of 'Friends' groups.

Official university catalogues and bulletins of instructional programmes often contain a description of the library and its services and a listing of its professional staff. While little space may be available, care should be taken to ensure that the library is not treated in a perfunctory way or overlooked. A brief, well-written statement emphasizing the library's purposes, the location of its facilities, the size and nature of its collections, its bibliographical and other services to readers, its hours of opening, and stressing the borrowing privileges available to students, may be the first notice an entering student receives about the library and its services.

The student newspaper is another good medium for informing students about the library and inviting them to avail themselves of its services. Student writers should be encouraged to write special feature stories about various aspects of the library service. The library may also wish to prepare its own news stories from time to time about new books, special collections, exhibitions and other subjects to which it invites attention. Reviews of newly received books may be prepared by students or members of the library staff. Photographs of new equipment designed for reader use may be supplied to the newspaper.

The library may issue its own newsletter, occasionally or regularly. The newsletter may contain brief notices of important new books received, lists of new titles added to the library, short articles about various library services and other items. A newsletter lends itself to wide distribution outside as well as within the university.

Bulletin boards should be installed in strategic places where there is a concentration of traffic. Posters and notices may be attached to them calling attention to exhibitions, current lectures, etc., and to introduction of new services, rules, etc. A simple display of book jackets from new books may be effective in drawing attention to the books. Generally, the bulletin boards should be used for materials or notices of a transient rather than permanent kind.

These suggestions may be sufficient to indicate the various possibilities of interpretive media. Other media will doubtless suggest themselves to the alert and thoughtful librarian.

NOTES

1. CARNOVSKY, L. Evaluation of library services. *Unesco bulletin for libraries*, vol. 13, October 1959, pp. 221–5. See p. 221.
2. MIDDLE STATES ASSOCIATION OF COLLEGES AND SECONDARY SCHOOLS. COMMISSION ON INSTITUTIONS OF HIGHER EDUCATION. *Evaluating the library: suggestions for the use of faculties and evaluation teams*. New York, October 1957, 2 pp. (Doc. no. 4.81.)

# SELECTED READING LIST

The following list is not intended to be exhaustive or prescriptive. It suggests the nature and scope of additional sources of information about various aspects of university librarianship. Librarians should keep up with the subject by regular reading of the current and retrospective literature. In addition to the *Unesco Bulletin for Libraries* publications to consult regularly are *Library Science Abstracts*, published quarterly by The Library Association, Ridgmount Street, Store Street, London W.C.1, and *Library Literature*, a quarterly index to materials on librarianship, published by H. W. Wilson Co., 950 University Avenue, New York 52, New York. These journals are international in scope and include a wide variety of publications. The library should subscribe to and obtain back files of important library journals.

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